## 1-800-325-8506

PERSONAL FI	NANCIAL STATEMENT	FORM PFS COVER SHEET
	dance with chapter 572 of the Government Code.	PAGE # Page 1 of 78
	014, covering calendar year ending December 31, <b>2013</b> .  • INSTRUCTION GUIDE when completing this form.	ACCOUNT # 00020990
1 NAME	TITLE, FIRST, MI Sen. Royce	OFFICE USE ONLY
	NICKNAME, LAST, SUFFIX  West	RECEIVED JAN 2 7 2014
2 ADDRESS	220 Courth D. L. Thornton Francisco	Texas Ethics Commission
	320 South R. L. Thornton Freeway Suite 300	Receipt #
	Dallas, TX 75203-1804	Legal
	(CHECK IF FILER'S HOME ADDRESS)	PROCESSED JAN 28 201
3 TELEPHONE	AREA CODE NUMBER; EXTENSION	Date Imaged
NUMBER		
4 REASON FOR FILING STATEMENT	APPOINTED OFFICER  EXECUTIVE HEAD  FORMER OR RETIRED JUDGE SITTING BY ASSIGNMENT  STATE PARTY CHAIR  OTHER	(INDICATE OFFICE)  (INDICATE AGENCY)  (INDICATE AGENCY)  (INDICATE PARTY)  (INDICATE POSITION)
spouse or dependent chi  SPOUSE  DEPENDENT CHILD 1.		

In parts 1 through 18, you will disclose your financial activity during the calendar year. In parts 1 through 14, you are required to disclose not only your own financial activity, but also that of your spouse or a dependent child if you had actual control over that person's financial activity.



1-800-325-8506

Texas Ethics Commission

STOCK					PART 2	
☐ NOT APPLICABL	E					
List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFSINSTRUCTION GUIDE.						
		pendent child's activity, child is listed on the Co		bout whom you are re	eporting by	
<sup>1</sup> BUSINESS ENTITY		ALTRIA GROUP INC	NA	ME		
2 STOCK HELD OR A	CQUIRED BY	☑ FILER	SPOUSE	DEPENDENT CHIL	D	
3 NUMBER OF SHAR	ES	LESS THAN 100	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	X 1,000 TO 4,999	
<sup>4</sup> IF SOLD	☐ NET GAIN☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE	
BUSINESS ENTITY		AMERICAN AIRLINES		ME		
STOCK HELD OR A	CQUIRED BY	☑ FILER	SPOUSE	DEPENDENT CHIL	D	
NUMBER OF SHAR	ES	LESS THAN 100	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	X 1,000 TO 4,999	
IF SOLD	☐ NET GAIN☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE	
BUSINESS ENTITY		AMERICAN INTERNA		ME >		
STOCK HELD OR A	CQUIRED BY	☑ FILER	SPOUSE	☐ DEPENDENT CHIL	D	
NUMBER OF SHAR	ES	LESS THAN 100	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	X 1,000 TO 4,999	
IF SOLD	☐ NET GAIN☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE	
BUSINESS ENTITY		APPLE INC	NA	ME		
STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D	
NUMBER OF SHAR	ES	LESS THAN 100	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	X 1,000 TO 4,999	
IF SOLD	☐ NET GAIN☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE	
BUSINESS ENTITY		AT&T INC	NA	ME		
STOCK HELD OR A	CQUIRED BY	▼ FILER	SPOUSE	☐ DEPENDENT CHIL	D	
NUMBER OF SHAR	ES	LESS THAN 100	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	X 1,000 TO 4,999	
IF SOLD	☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE	
	COPY A	ND ATTACH ADDITION	ONAL PAGES AS	NECESSARY		

1-800-325-8506

Austin, Texas 78711-2070

☐ NOT APPLICABLE				PART Z		
- NOTAL FLOADEL						
List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFSINSTRUCTION GUIDE.						
When reporting information about a de providing the number under which the			bout whom you are re	eporting by		
<sup>1</sup> BUSINESS ENTITY	BANK OF AMERICA C		ME			
2 STOCK HELD OR ACQUIRED BY	☑ FILER	SPOUSE	DEPENDENT CHIL	D		
<sup>3</sup> NUMBER OF SHARES	LESS THAN 100	☐ 100 TO 499 ☐ 10,000 OR MORE	X 500 TO 999	☐ 1,000 TO 4,999		
4 IF SOLD NET GAIN NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE		
BUSINESS ENTITY	CATERPILLAR	NA	ME			
STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D		
NUMBER OF SHARES	LESS THAN 100	☐ 100 TO 499 ☐ 10,000 OR MORE	X 500 TO 999	☐ 1,000 TO 4,999		
IF SOLD ☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE		
BUSINESS ENTITY	ENERGY XXI GULF C		ME			
	X FILER	SPOUSE	DEPENDENT CHIL	D		
STOCK HELD OR ACQUIRED BY	ا الحدا الحدا ا					
NUMBER OF SHARES	LESS THAN 100 5,000 TO 9,999	☐ 100 TO 499 ☑ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999		
	LESS THAN 100	100 TO 499		☐ 1,000 TO 4,999 ☐ \$25,000OR MORE		
NUMBER OF SHARES  IF SOLD	LESS THAN 100	☐ 100 TO 499 ☑ 10,000 OR MORE ☐ \$5,000 - \$9,999				
NUMBER OF SHARES  IF SOLD  NET GAIN NET LOSS	LESS THAN 100 5,000 TO 9,999 LESS THAN \$5,000	☐ 100 TO 499 ☑ 10,000 OR MORE ☐ \$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE		
NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY	LESS THAN 100 5,000 TO 9,999 LESS THAN \$5,000 FACEBOOK INC	100 TO 499  10,000 OR MORE  \$5,000 - \$9,999	\$10,000 - \$24,999  ME  DEPENDENT CHIL  500 TO 999	\$25,000OR MORE		
NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY  STOCK HELD OR ACQUIRED BY	LESS THAN 100 5,000 TO 9,999 LESS THAN \$5,000 FACEBOOK INC Siller LESS THAN 100	□ 100 TO 499 □ 10,000 OR MORE □ \$5,000 - \$9,999  NA □ SPOUSE □ 100 TO 499	\$10,000 - \$24,999  ME  DEPENDENT CHIL  500 TO 999	□ \$25,000OR MORE  □ \$25,000OR MORE  □ \$25,000OR MORE		
NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY  STOCK HELD OR ACQUIRED BY NUMBER OF SHARES  IF SOLD NET GAIN	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  FACEBOOK INC ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999  NA ☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	\$10,000 - \$24,999  ME  DEPENDENT CHIL  500 TO 999	□ \$25,000OR MORE  □ \$25,000OR MORE  □ \$25,000OR MORE		
NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY  STOCK HELD OR ACQUIRED BY NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS	LESS THAN 100 5,000 TO 9,999 LESS THAN \$5,000 FACEBOOK INC FILER LESS THAN 100 5,000 TO 9,999 LESS THAN \$5,000	☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999  NA ☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	\$10,000 - \$24,999  ME  DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999	□ \$25,000OR MORE  □ \$25,000OR MORE  □ \$25,000OR MORE		
NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY  STOCK HELD OR ACQUIRED BY NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY	LESS THAN 100 5,000 TO 9,999 LESS THAN \$5,000 FACEBOOK INC FILER LESS THAN 100 5,000 TO 9,999 LESS THAN \$5,000 FIRST TR FINANCIAL	☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999  NA ☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999  S	\$10,000 - \$24,999  ME  DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999  ME  DEPENDENT CHIL  500 TO 999	□ \$25,000OR MORE  □ \$25,000OR MORE  □ \$25,000OR MORE		
NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY  STOCK HELD OR ACQUIRED BY NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY  STOCK HELD OR ACQUIRED BY	LESS THAN 100 5,000 TO 9,999 LESS THAN \$5,000 FACEBOOK INC FILER LESS THAN 100 5,000 TO 9,999 LESS THAN \$5,000 FIRST TR FINANCIAL FILER LESS THAN 100	100 TO 499	\$10,000 - \$24,999  ME  DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999  ME  DEPENDENT CHIL  500 TO 999	□ \$25,000OR MORE  □ \$25,000OR MORE  □ \$25,000OR MORE		

Texas Ethics Commission

STOCK				PART 2
☐ NOT APPLICABLE				
List each business entity in which you, and indicate the category of the number category of the amount of the net gain INSTRUCTION GUIDE.	er of shares held or acq	uired. If some or all	of the stock was sold	d, also indicate the
When reporting information about a de providing the number under which the			bout whom you are re	eporting by
1 BUSINESS ENTITY	FLOUR CORP NEW	NA	ME	
<sup>2</sup> STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
<sup>3</sup> NUMBER OF SHARES	LESS THAN 100 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	X 500 TO 999	☐ 1,000 TO 4,999
4 IF SOLD NET GAIN NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	GLOBAL X SOCIAL M		ME	
STOCK HELD OR ACQUIRED BY	☑ FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES	LESS THAN 100	<ul><li>■ 100 TO 499</li><li>■ 10,000 OR MORE</li></ul>	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD NET GAIN NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	GUGGENHEIM RUSS		ME	
BUSINESS ENTITY  STOCK HELD OR ACQUIRED BY	GUGGENHEIM RUSS		ME DEPENDENT CHIL	D
		ELL	DEPENDENT CHIL 500 TO 999	D 1,000 TO 4,999
STOCK HELD OR ACQUIRED BY	☐ FILER ☐ LESS THAN 100	SPOUSE  100 TO 499	DEPENDENT CHIL 500 TO 999	
STOCK HELD OR ACQUIRED BY  NUMBER OF SHARES  IF SOLD  NET GAIN	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999	ELL SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	DEPENDENT CHIL 500 TO 999	1,000 TO 4,999
STOCK HELD OR ACQUIRED BY  NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000	ELL SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999	1,000 TO 4,999  \$25,000OR MORE
STOCK HELD OR ACQUIRED BY  NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ GUGGENHEIM S&P 5	ELL SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999 ME	1,000 TO 4,999  \$25,000OR MORE
STOCK HELD OR ACQUIRED BY  NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY  STOCK HELD OR ACQUIRED BY	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ GUGGENHEIM S&P 5 ☐ FILER ☐ LESS THAN 100	SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999  00 EQUAL  SPOUSE  100 TO 499	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999 ME ☐ DEPENDENT CHIL	1,000 TO 4,999  \$25,000OR MORE
STOCK HELD OR ACQUIRED BY  NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY  STOCK HELD OR ACQUIRED BY  NUMBER OF SHARES  IF SOLD NET GAIN	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ GUGGENHEIM S&P 5 ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999	SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999  00 EQUAL  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999  ME ☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999	1,000 TO 4,999  \$25,000OR MORE  1,000 TO 4,999
STOCK HELD OR ACQUIRED BY  NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY  STOCK HELD OR ACQUIRED BY  NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ GUGGENHEIM S&P 5 ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000	SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999  00 EQUAL  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999  ME ☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999	☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  ☐ 1,000 TO 4,999  ☐ 1,000 TO 4,999  ☐ \$25,000OR MORE
STOCK HELD OR ACQUIRED BY  NUMBER OF SHARES  IF SOLD  NET GAIN NET LOSS  BUSINESS ENTITY  STOCK HELD OR ACQUIRED BY  NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ GUGGENHEIM S&P 5 ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ ISHARES CORE S&P	SPOUSE    100 TO 499   10,000 OR MORE   \$5,000 - \$9,999  00 EQUAL   SPOUSE   100 TO 499   10,000 OR MORE   \$5,000 - \$9,999  500 ETF	DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999  ME  DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999  ME	☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  ☐ 1,000 TO 4,999  ☐ 1,000 TO 4,999  ☐ \$25,000OR MORE
STOCK HELD OR ACQUIRED BY NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY  STOCK HELD OR ACQUIRED BY NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY  STOCK HELD OR ACQUIRED BY	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ GUGGENHEIM S&P 5 ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ ISHARES CORE S&P ☐ FILER ☐ LESS THAN 100	ELL  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999  00 EQUAL  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999  NA  SPOUSE  NA  SPOUSE  100 TO 499  100 TO 499	DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999  ME  DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999  ME  DEPENDENT CHIL	☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  ☐ 1,000 TO 4,999  ☐ \$25,000OR MORE

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☐ \$25,000--OR MORE

□ NET GAIN

☐ NET LOSS

IF SOLD

STOCK				PART 2	
☐ NOT APPLICABLE					
List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFSINSTRUCTION GUIDE.					
When reporting information about a deproviding the number under which the			oout whom you are re	eporting by	
<sup>1</sup> BUSINESS ENTITY	ISHARES S&P 100	NA	ME		
2 STOCK HELD OR ACQUIRED BY		SPOUSE	☐ DEPENDENT CHIL	D	
<sup>3</sup> NUMBER OF SHARES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	1,000 TO 4,999	
4 IF SOLD NET GAIN NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE	
BUSINESS ENTITY	ISHARES S&P GLBL		ME		
STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D	
NUMBER OF SHARES	<ul><li>X LESS THAN 100</li><li>D 5,000 TO 9,999</li></ul>	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999	
IF SOLD NET GAIN NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE	
		014	NE		
BUSINESS ENTITY	ISHARES S&P GLBL		ME		
STOCK HELD OR ACQUIRED BY	ISHARES S&P GLBL		DEPENDENT CHIL	D	
		100	DEPENDENT CHIL	D 1,000 TO 4,999	
STOCK HELD OR ACQUIRED BY	☐ FILER ☐ LESS THAN 100	100 SPOUSE 100 TO 499	DEPENDENT CHIL		
STOCK HELD OR ACQUIRED BY  NUMBER OF SHARES  IF SOLD  NET GAIN	<ul><li>☒ FILER</li><li>☒ LESS THAN 100</li><li>☐ 5,000 TO 9,999</li></ul>	100 SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	DEPENDENT CHIL	1,000 TO 4,999	
STOCK HELD OR ACQUIRED BY NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS	<ul><li>☒ FILER</li><li>☒ LESS THAN 100</li><li>☐ 5,000 TO 9,999</li><li>☐ LESS THAN \$5,000</li></ul>	100 SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999	1,000 TO 4,999  \$25,000OR MORE	
STOCK HELD OR ACQUIRED BY  NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY	☐ FILER  ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  ☐ ISHARES U.S.	100 SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999  ME ☐ DEPENDENT CHIL ☐ 500 TO 999	1,000 TO 4,999  \$25,000OR MORE	
STOCK HELD OR ACQUIRED BY  NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY  STOCK HELD OR ACQUIRED BY	☐ LESS THAN \$5,000 ☐ S,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ ISHARES U.S. ☐ FILER ☐ LESS THAN 100	100  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999  NA  SPOUSE  100 TO 499	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999  ME ☐ DEPENDENT CHIL ☐ 500 TO 999	1,000 TO 4,999  \$25,000OR MORE	
STOCK HELD OR ACQUIRED BY  NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY  STOCK HELD OR ACQUIRED BY  NUMBER OF SHARES  IF SOLD NET GAIN	X   FILER   X   LESS THAN 100   5,000 TO 9,999   LESS THAN \$5,000   ISHARES U.S.   X   FILER   X   LESS THAN 100   5,000 TO 9,999	100  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999  NA  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999  ME ☐ DEPENDENT CHIL ☐ 500 TO 999	1,000 TO 4,999  \$25,000OR MORE  D  1,000 TO 4,999	
STOCK HELD OR ACQUIRED BY NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY  STOCK HELD OR ACQUIRED BY NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ SHARES U.S. ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ LESS THAN \$5,000	100  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999  NA  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999  ME ☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999	☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  ☐ 1,000 TO 4,999  ☐ 1,000 TO 4,999  ☐ \$25,000OR MORE	
STOCK HELD OR ACQUIRED BY NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY  STOCK HELD OR ACQUIRED BY NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY	<ul> <li>☒ FILER</li> <li>☒ LESS THAN 100</li> <li>☐ 5,000 TO 9,999</li> <li>☐ LESS THAN \$5,000</li> <li>ISHARES U.S.</li> <li>☒ FILER</li> <li>☒ LESS THAN 100</li> <li>☐ 5,000 TO 9,999</li> <li>☐ LESS THAN \$5,000</li> <li>MARKET VECTORS E</li> </ul>	100  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999  NA  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999	□ DEPENDENT CHIL         □ 500 TO 999         □ \$10,000 - \$24,999         ME         □ DEPENDENT CHIL         □ 500 TO 999         ME         □ DEPENDENT CHIL         □ DEPENDENT CHIL         □ DEPENDENT CHIL         □ 500 TO 999	☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  ☐ 1,000 TO 4,999  ☐ 1,000 TO 4,999  ☐ \$25,000OR MORE	
STOCK HELD OR ACQUIRED BY NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY  STOCK HELD OR ACQUIRED BY NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY  STOCK HELD OR ACQUIRED BY		100  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999  NA  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999  NA  ETF TR  SPOUSE  100 TO 499	□ DEPENDENT CHIL         □ 500 TO 999         □ \$10,000 - \$24,999         ME         □ DEPENDENT CHIL         □ 500 TO 999         ME         □ DEPENDENT CHIL         □ DEPENDENT CHIL         □ DEPENDENT CHIL         □ 500 TO 999	☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  ☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  ☐ 1,000 TO 4,999  ☐ 1,000 TO 4,999	

STOCK					PART 2	
☐ NOT APPLICABL	E					
and indicate the catego	ory of the numbe t of the net gain	your spouse, or a depe or of shares held or acq or loss realized from the	uired. If some or all	of the stock was sold	d, also indicate the	
		pendent child's activity, child is listed on the Co	ver Sheet.		eporting by	
<sup>1</sup> BUSINESS ENTITY		MARKET VECTORS E	TF TR GOLD MINER			
2 STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D	
<sup>3</sup> NUMBER OF SHAR	ES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	<ul><li>■ 100 TO 499</li><li>■ 10,000 OR MORE</li></ul>	☐ 500 TO 999	☐ 1,000 TO 4,999	
<sup>4</sup> IF SOLD	☐ NET GAIN☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,0 <b>00</b> - \$24,999	\$25,000OR MORE	
BUSINESS ENTITY		POWERSHARES QQ		ME		_
STOCK HELD OR A	CQUIRED BY	☑ FILER	SPOUSE	☐ DEPENDENT CHIL	D	_
NUMBER OF SHAR	ES	LESS THAN 100	<ul><li>X 100 TO 499</li><li> 10,000 OR MORE</li></ul>	☐ 500 TO 999	☐ 1,000 TO 4,999	
IF SOLD	☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE	_
BUSINESS ENTITY		PROSHARES S&P 50		ME		
STOCK HELD OR A	CQUIRED BY	☐ FILER	SPOUSE	☐ DEPENDENT CHIL	D	_
NUMBER OF SHAR	ES	LESS THAN 100	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	X 1,000 TO 4,999	
IF SOLD	☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE	
BUSINESS ENTITY		SECTOR SPDR ENEF		ME .		
STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D	
NUMBER OF SHAR	ES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999	
IF SOLD	☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE	
BUSINESS ENTITY		SECTOR SPDR INDU		ME		
STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D	_
NUMBER OF SHAR	RES	X LESS THAN 100  ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	□ 500 TO 999 :	☐ 1,000 TO 4,999	
IF SOLD	☐ NET GAIN	☐ LESS THAN \$5,000	<b>\$5,000</b> - \$9,999	\$10,000 - \$24,999	☐ \$25,000OR MORE	
	☐ NET LOSS				**	=

STOCK					PARI Z
☐ NOT APPLICABL	E				
and indicate the catego	ory of the numbe t of the net gain	your spouse, or a depe er of shares held or acqu or loss realized from the	uired. If some or all	of the stock was solo	d, also indicate the
When reporting information providing the number u	ation about a deput a	pendent child's activity, child is listed on the Co	ver Sheet.		eporting by
<sup>1</sup> BUSINESS ENTITY		SOUTHWEST AIRLNS		ME	
<sup>2</sup> STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
<sup>3</sup> NUMBER OF SHAR	ES	LESS THAN 100	☐ 100 TO 499 ☑ 10,000 OR MORE	□ 500 TO 999 E	☐ 1,000 TO 4,999
<sup>4</sup> IF SOLD	☐ NET GAIN☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		SPDR DOW JONES IN		AME	
STOCK HELD OR A	CQUIRED BY	☑ FILER	SPOUSE	☐ DEPENDENT CHIL	.D
NUMBER OF SHAR	ES		☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	NET GAIN NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		SPDR GOLD TRUST	NA	AME	
BUSINESS ENTITY STOCK HELD OR A		SPDR GOLD TRUST	NA SPOUSE	AME  DEPENDENT CHIL	.D
	CQUIRED BY			DEPENDENT CHIL	.D ☐ 1,000 TO 4,999
STOCK HELD OR A	CQUIRED BY	☐ FILER ☐ ☐ ILESS THAN 100	☐ SPOUSE ☐ 100 TO 499	DEPENDENT CHIL	
STOCK HELD OR A NUMBER OF SHAR	CQUIRED BY	<ul><li>☒ FILER</li><li>☒ LESS THAN 100</li><li>☐ 5,000 TO 9,999</li></ul>	☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	DEPENDENT CHIL	☐ 1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAR IF SOLD	CQUIRED BY	<ul><li>☒ FILER</li><li>☒ LESS THAN 100</li><li>☐ 5,000 TO 9,999</li><li>☐ LESS THAN \$5,000</li></ul>	☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY	CQUIRED BY  RES  NET GAIN NET LOSS  ACQUIRED BY	☐ LESS THAN \$5,000  SPDR KBW REGIONA	SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999	DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999  AME  DEPENDENT CHIL  500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A	CQUIRED BY  RES  NET GAIN NET LOSS  ACQUIRED BY	☐ LESS THAN \$5,000  SPDR KBW REGIONA  LESS THAN \$100	SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999  AL BANKIN  SPOUSE  100 TO 499	DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999  AME  DEPENDENT CHIL  500 TO 999	1,000 TO 4,999  \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A NUMBER OF SHAR	ACQUIRED BY  RES  NET GAIN NET LOSS  ACQUIRED BY  RES  NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  SPDR KBW REGIONA ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999	SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999  AL BANKIN  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999	DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999  AME  DEPENDENT CHIL  500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ D ☐ 1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A NUMBER OF SHAR  IF SOLD	CQUIRED BY  RES  NET GAIN NET LOSS  ACQUIRED BY  RES  NET GAIN NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  SPDR KBW REGIONA ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000	SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999  AL BANKIN  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999  =	☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  D ☐ 1,000 TO 4,999  ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY	ACQUIRED BY  DES  NET GAIN NET LOSS  ACQUIRED BY  DES  ACQUIRED BY  ACQUIRED BY  ACQUIRED BY	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  SPDR KBW REGIONA ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  SPDR S P BRIC 40	SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999  AL BANKIN  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999  =	☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  D ☐ 1,000 TO 4,999  ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A	ACQUIRED BY  DES  NET GAIN NET LOSS  ACQUIRED BY  DES  ACQUIRED BY  ACQUIRED BY  ACQUIRED BY	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  SPDR KBW REGIONA ☐ FILER ☐ LESS THAN \$5,000  SPDR S P BRIC 40 ☐ FILER ☐ LESS THAN 100 ☐ LESS THAN 100	□ SPOUSE □ 100 TO 499 □ 10,000 OR MORE □ \$5,000 - \$9,999  AL BANKIN □ SPOUSE □ 100 TO 499 □ 10,000 OR MORE □ \$5,000 - \$9,999  N/ □ SPOUSE □ 100 TO 499	☐ DEPENDENT CHIL ☐ 500 TO 999  =	☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  ☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  ☐ 1,000 TO 4,999

ex	as Ethics Commission	P.O. Box 120	70 Austin, Texas 78	711-2070	(512)463-5	800	1-800-325-85	<del>3</del> 06
•	STOCK						PART 2	
	☐ NOT APPLICABLE							
6	List each business entity and indicate the category category of the amount of NSTRUCTION GUIDE.	of the number	r of shares held or acqu	ired. If some or all	of the stock was sold	l, also indic	lar year cate the	
۲ ا	When reporting information	on about a dep der which the c	pendent child's activity, child is listed on the Cov	indicate the child ab ver Sheet.	oout whom you are re	porting by		
1	BUSINESS ENTITY		SPDR S P DIVID ETF	NAN	ME			
2	STOCK HELD OR ACC	QUIRED BY	X FILER	SPOUSE	DEPENDENT CHILE	)		
3	NUMBER OF SHARES	6	LESS THAN 100	☐ 100 TO 499 ☐ 10,000 OR MORE	X 500 TO 999	☐ 1,000 T	O 4,999	
4	IF SOLD	] NET GAIN ] NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000	)OR MORE	
	BUSINESS ENTITY		SPDR S P EMERG AS	NAI IA PAC	ME			
	STOCK HELD OR ACC	QUIRED BY	X FILER	SPOUSE	DEPENDENT CHILI	<b></b>		
	NUMBER OF SHARES	3	<ul><li>X LESS THAN 100</li><li>D 5,000 TO 9,999</li></ul>	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	1,000 T	O 4,999	
	IF SOLD	NET GAIN NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000	)OR MORE	
	BUSINESS ENTITY		SPDR S&P 500 ETF T	NA RUST	ME			
	STOCK HELD OR ACC	QUIRED BY	X FILER	SPOUSE	DEPENDENT CHILI	D		
	NUMBER OF SHARES	5	<ul><li>X LESS THAN 100</li><li>☐ 5,000 TO 9,999</li></ul>	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	1,000 T	O 4,999	
	IF SOLD C	] NET GAIN ] NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000	)OR MORE	
	BUSINESS ENTITY		SPDR S&P INTL TELE		ME			
	STOCK HELD OR AC	QUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D		
	NUMBER OF SHARES	5	<ul><li>X LESS THAN 100</li><li>D 5,000 TO 9,999</li></ul>	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 T	O 4,999	
	IF SOLD C	] NET GAIN ] NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000	OOR MORE	
	BUSINESS ENTITY		VANGUARD HIGH DV		ME			
	STOCK HELD OR AC	QUIRED BY	∏ FILER	SPOUSE	☐ DEPENDENT CHIL	D		
	NUMBER OF SHARES	S	<ul><li>X LESS THAN 100</li><li>☐ 5,000 TO 9,999</li></ul>	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	П 1,000 Т	O 4,999	
	IF SOLD [	NET GAIN	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000	0OR MORE	

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

STC	CK					PART Z
<u></u>	NOT APPLICABL	.E				
and inc	List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFSINSTRUCTION GUIDE.					
When providi	reporting informing the number u	ation about a depunder which the o	pendent child's activity, child is listed on the Co	ver Sheet.		eporting by
<sup>1</sup> BUSI	NESS ENTITY		VANGUARD INDUSTF		ME	
2 STO	CK HELD OR A	CQUIRED BY		SPOUSE	DEPENDENT CHIL	D
3 NUM	BER OF SHAR	RES	∠ LESS THAN 100     √ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
<sup>4</sup> IF SC	DLD	☐ NET GAIN☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSI	NESS ENTITY		VANGUARD INFORM		AME	
STO	CK HELD OR A	ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUM	BER OF SHAR	RES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SC	DLD	☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	<b>\$10,000 - \$24,999</b>	\$25,000OR MORE
BUSI	INESS ENTITY	,	VANGUARD MEGA C		AME	
·		ACQUIRED BY	VANGUARD MEGA C		AME  DEPENDENT CHIL	D
STO		ACQUIRED BY		AP ETF	DEPENDENT CHIL	.D ☐ 1,000 TO 4,999
STO	CK HELD OR A	ACQUIRED BY	☐ FILER ☐ LESS THAN 100	AP ETF SPOUSE 100 TO 499	DEPENDENT CHIL	
STOO NUM IF SO	CK HELD OR A	ACQUIRED BY RES NET GAIN NET LOSS	<ul><li>☒ FILER</li><li>☒ LESS THAN 100</li><li>☐ 5,000 TO 9,999</li></ul>	AP ETF  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999	DEPENDENT CHIL 500 TO 999	☐ 1,000 TO 4,999
STOO NUM IF SO	CK HELD OR A IBER OF SHAR DLD INESS ENTITY	ACQUIRED BY RES NET GAIN NET LOSS	<ul><li>☒ FILER</li><li>☒ LESS THAN 100</li><li>☒ 5,000 TO 9,999</li><li>☐ LESS THAN \$5,000</li></ul>	AP ETF  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999	1,000 TO 4,999 \$25,000OR MORE
STOO NUM IF SO BUS	CK HELD OR A IBER OF SHAR DLD INESS ENTITY	ACQUIRED BY  RES  NET GAIN NET LOSS  ACQUIRED BY	☐ FILER  ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  VANGUARD MSCI EN	AP ETF  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999	DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999  AME  DEPENDENT CHIL  500 TO 999	1,000 TO 4,999 \$25,000OR MORE
STOO NUM IF SO BUS	CK HELD OR A IBER OF SHAR  DLD  INESS ENTITY  CK HELD OR A IBER OF SHAR	ACQUIRED BY  RES  NET GAIN NET LOSS  ACQUIRED BY	☐ FILER  ☐ LESS THAN 100 ☐ 5,000 TO 9,999  ☐ LESS THAN \$5,000  VANGUARD MSCI EN ☐ FILER ☐ LESS THAN 100	AP ETF  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999  NAMERGING  SPOUSE  100 TO 499	DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999  AME  DEPENDENT CHIL  500 TO 999	1,000 TO 4,999  \$25,000OR MORE
STOO NUM IF SO BUS STOO NUM	CK HELD OR A IBER OF SHAR  DLD  INESS ENTITY  CK HELD OR A IBER OF SHAR	ACQUIRED BY RES  NET GAIN NET LOSS  ACQUIRED BY RES  NET GAIN NET LOSS	☐ FILER  ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  VANGUARD MSCI EM ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999	AP ETF  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999  NAMERGING  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999  E ☐ \$10,000 - \$24,999  AME ☐ DEPENDENT CHIL ☐ 500 TO 999  E	1,000 TO 4,999  \$25,000OR MORE  D  1,000 TO 4,999
STOO NUM IF SO BUS STOO NUM IF SO	CK HELD OR A IBER OF SHAR  DLD  INESS ENTITY  CK HELD OR A IBER OF SHAR  DLD	ACQUIRED BY RES  NET GAIN NET LOSS  ACQUIRED BY RES  NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  VANGUARD MSCI EN ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000	AP ETF  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999  NAMERGING  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999  = ☐ \$10,000 - \$24,999  AME ☐ DEPENDENT CHIL ☐ 500 TO 999 = ☐ \$10,000 - \$24,999	1,000 TO 4,999  \$25,000OR MORE  1,000 TO 4,999  \$25,000OR MORE
STOO NUM IF SO BUS STOO NUM IF SO BUS	CK HELD OR A IBER OF SHAR  DLD  INESS ENTITY  CK HELD OR A IBER OF SHAR  DLD	ACQUIRED BY RES  NET GAIN NET LOSS  ACQUIRED BY RES  NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  VANGUARD MSCI EN ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  WAL-MART STORES	AP ETF  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999  NAMERGING  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999  INC	☐ DEPENDENT CHIL ☐ 500 TO 999  =	1,000 TO 4,999  \$25,000OR MORE  1,000 TO 4,999  \$25,000OR MORE
STOO NUM IF SO BUS STOO NUM IF SO BUS	CK HELD OR A IBER OF SHAR  DLD  INESS ENTITY  CK HELD OR A IBER OF SHAR  DLD  INESS ENTITY  CK HELD OR A	ACQUIRED BY RES  NET GAIN NET LOSS  ACQUIRED BY RES  NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  VANGUARD MSCI EN ☐ FILER ☐ LESS THAN \$5,000  WAL-MART STORES ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000	AP ETF  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999  MERGING  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999  INC  SPOUSE  100 TO 499  INC  SPOUSE  100 TO 499	☐ DEPENDENT CHIL ☐ 500 TO 999  =	1,000 TO 4,999  \$25,000OR MORE  1,000 TO 4,999  \$25,000OR MORE

STOCK					PART 2
☐ NOT APPLICABL	E				
List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFSINSTRUCTION GUIDE.					
When reporting information providing the number up	ation about a depunder which the o	pendent child's activity, child is listed on the Co	indicate the child at ver Sheet.	oout whom you are re	eporting by
<sup>1</sup> BUSINESS ENTITY		WHOLE FOODS MKT		ME	
2 STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
<sup>3</sup> NUMBER OF SHAR	ES	LESS THAN 100	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	X 1,000 TO 4,999
<sup>4</sup> IF SOLD	☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		WISDOMTREE TRUS		ME QUITY FD	
STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHAR	ES	□ LESS THAN 100     □ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	NET GAIN NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		3M COMPANY	NA	ME	
BUSINESS ENTITY STOCK HELD OR A	CQUIRED BY	3M COMPANY  ☑ FILER	NA SPOUSE	ME  ☐ DEPENDENT CHIL	D
				DEPENDENT CHIL 500 TO 999	D 1,000 TO 4,999
STOCK HELD OR A		☐ LESS THAN 100	☐ SPOUSE  ☑ 100 TO 499 ☐ 10,000 OR MORE	☐ DEPENDENT CHIL	
STOCK HELD OR A NUMBER OF SHAR	ES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	☐ SPOUSE  ☑ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	☐ DEPENDENT CHIL	1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAR IF SOLD	ES  NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000	☐ SPOUSE  ☑ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999	1,000 TO 4,999  \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY	ES  NET GAIN NET LOSS  CQUIRED BY	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  ALEXION PHARMS IN	SPOUSE    100 TO 499   10,000 OR MORE   \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999  ME ☐ DEPENDENT CHIL ☐ 500 TO 999	1,000 TO 4,999  \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A	ES  NET GAIN NET LOSS  CQUIRED BY	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  ALEXION PHARMS IN ☐ FILER ☐ LESS THAN 100	SPOUSE    100 TO 499   10,000 OR MORE   \$5,000 - \$9,999   NA	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999  ME ☐ DEPENDENT CHIL ☐ 500 TO 999	1,000 TO 4,999  \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A NUMBER OF SHAR	ES  NET GAIN NET LOSS  CQUIRED BY ES	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ ALEXION PHARMS IN ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999	SPOUSE    100 TO 499   10,000 OR MORE   \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999  ME ☐ DEPENDENT CHIL ☐ 500 TO 999	☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  ☐ 1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A NUMBER OF SHAR  IF SOLD	ES  NET GAIN NET LOSS  CQUIRED BY ES  NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  ALEXION PHARMS IN ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000	SPOUSE    100 TO 499   10,000 OR MORE   \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999  ☐ \$10,000 - \$24,999  ME ☐ DEPENDENT CHIL ☐ 500 TO 999  ☐ \$10,000 - \$24,999	☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  ☐ 1,000 TO 4,999  ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY	ES  NET GAIN NET LOSS  CQUIRED BY ES  NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  ALEXION PHARMS IN ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  ALPS SECTOR DIVID	☐ SPOUSE  ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999  IC ☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999  NA	☐ DEPENDENT CHIL ☐ 500 TO 999  ☐ \$10,000 - \$24,999  ME ☐ DEPENDENT CHIL ☐ 500 TO 999  ☐ \$10,000 - \$24,999  ☐ \$10,000 - \$24,999  ☐ □ DEPENDENT CHIL ☐ DEPENDENT CHIL ☐ 500 TO 999	☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  ☐ 1,000 TO 4,999  ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A	ES  NET GAIN NET LOSS  CQUIRED BY ES  NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ ALEXION PHARMS IN ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ ALPS SECTOR DIVID ☐ FILER ☐ LESS THAN 100	☐ SPOUSE  ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999  IC ☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999  NA ND DOGS ☐ SPOUSE ☐ 100 TO 499 ☐ 100 TO 499	☐ DEPENDENT CHIL ☐ 500 TO 999  ☐ \$10,000 - \$24,999  ME ☐ DEPENDENT CHIL ☐ 500 TO 999  ☐ \$10,000 - \$24,999  ☐ \$10,000 - \$24,999  ☐ □ DEPENDENT CHIL ☐ DEPENDENT CHIL ☐ 500 TO 999	☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  ☐ 1,000 TO 4,999  ☐ \$25,000OR MORE

STOCK					PARI Z
☐ NOT APPLICABL	.E	-			
List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFSINSTRUCTION GUIDE.					
When reporting inform providing the number u	ation about a detunder which the c	pendent child's activity, child is listed on the Co	ver Sheet.		eporting by
<sup>1</sup> BUSINESS ENTITY		ANADARKO PETE CC		ME	
2 STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
<sup>3</sup> NUMBER OF SHAR	ES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	□ 500 TO 999	1,000 TO 4,999
<sup>4</sup> IF SOLD	☐ NET GAIN ☑ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		APPLE INC	NA	ME	
STOCK HELD OR A	CQUIRED BY		SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHAR			☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	1,000 TO 4,999
IF SOLD	NET GAIN ☐ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
		<u> </u>			
BUSINESS ENTITY		ARCHER DANIELS M		ME	
BUSINESS ENTITY  STOCK HELD OR A		ARCHER DANIELS MI		ME  DEPENDENT CHIL	.D
	CQUIRED BY		IDLD	DEPENDENT CHIL	1,000 TO 4,999
STOCK HELD OR A	CQUIRED BY	☐ LESS THAN 100	SPOUSE  100 TO 499	DEPENDENT CHIL	
STOCK HELD OR A	ACQUIRED BY RES  IN NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999	IDLD  ☐ SPOUSE  ☑ 100 TO 499  ☐ 10,000 OR MORE  ☐ \$5,000 - \$9,999	DEPENDENT CHIL 500 TO 999	1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAR IF SOLD	ACQUIRED BY RES  NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000	IDLD  ☐ SPOUSE  ☑ 100 TO 499  ☐ 10,000 OR MORE  ☐ \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 : ☐ \$10,000 - \$24,999	1,000 TO 4,999 \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY	ACQUIRED BY  RES  NET GAIN NET LOSS  ACQUIRED BY	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 AUTOMATIC DATA PI	SPOUSE   SPOUSE   SPOUSE   SPOUSE   SPOUSE   S5,000 - \$9,999   SPOUSE   S	DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999  MME  DEPENDENT CHIL  500 TO 999	1,000 TO 4,999 \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A	ACQUIRED BY  RES  NET GAIN NET LOSS  ACQUIRED BY	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  AUTOMATIC DATA PI ☐ FILER ☐ LESS THAN 100	SPOUSE   S	DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999  MME  DEPENDENT CHIL  500 TO 999	1,000 TO 4,999 \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A NUMBER OF SHAR	ACQUIRED BY RES  NET GAIN NET LOSS  ACQUIRED BY RES  NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  AUTOMATIC DATA PI ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999	SPOUSE     100 TO 499   10,000 OR MORE     \$5,000 - \$9,999   NA	DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999   ME  DEPENDENT CHIL  500 TO 999	☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  D ☐ 1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A NUMBER OF SHAR  IF SOLD	ACQUIRED BY RES    NET GAIN   NET LOSS   ACQUIRED BY RES   NET GAIN   NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999  ☐ LESS THAN \$5,000  AUTOMATIC DATA PI ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999  ☐ LESS THAN \$5,000	SPOUSE     100 TO 499   10,000 OR MORE     \$5,000 - \$9,999   NA	DEPENDENT CHIL  500 TO 999  1 \$10,000 - \$24,999  AME  DEPENDENT CHIL  500 TO 999  1 \$10,000 - \$24,999	1,000 TO 4,999  \$25,000OR MORE  1,000 TO 4,999  \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY	ACQUIRED BY  RES  NET GAIN NET LOSS  ACQUIRED BY  RES  NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999  ☐ LESS THAN \$5,000  AUTOMATIC DATA PI ☐ LESS THAN 100 ☐ 5,000 TO 9,999  ☐ LESS THAN \$5,000  BANK OF AMERICA C	SPOUSE     100 TO 499   10,000 OR MORE     \$5,000 - \$9,999   NA	☐ DEPENDENT CHIL ☐ 500 TO 999 : ☐ \$10,000 - \$24,999  MME ☐ DEPENDENT CHIL ☐ 500 TO 999 : ☐ \$10,000 - \$24,999  AME ☐ DEPENDENT CHIL ☐ 500 TO 999	1,000 TO 4,999  \$25,000OR MORE  1,000 TO 4,999  \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A	ACQUIRED BY  RES  NET GAIN NET LOSS  ACQUIRED BY  RES  NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999  ☐ LESS THAN \$5,000  AUTOMATIC DATA PRODUCT OF THE PRODUCT OF	SPOUSE     100 TO 499   10,000 OR MORE     55,000 - \$9,999     CORP   SPOUSE     100 TO 499     1000 OR MORE       1000 OR MORE	☐ DEPENDENT CHIL ☐ 500 TO 999 : ☐ \$10,000 - \$24,999  MME ☐ DEPENDENT CHIL ☐ 500 TO 999 : ☐ \$10,000 - \$24,999  AME ☐ DEPENDENT CHIL ☐ 500 TO 999	1,000 TO 4,999  \$25,000OR MORE  D  1,000 TO 4,999  \$25,000OR MORE

STOCK				PART 2
☐ NOT APPLICABLE				
List each business entity in which you, and indicate the category of the number category of the amount of the net gain INSTRUCTION GUIDE.	er of shares held or acq	uired. If some or all	of the stock was sold	d, also indicate the
When reporting information about a de providing the number under which the			oout whom you are re	eporting by
<sup>1</sup> BUSINESS ENTITY	BARNES & NOBLES I		ME.	
2 STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
<sup>3</sup> NUMBER OF SHARES	LESS THAN 100	<ul><li>X 100 TO 499</li><li> 10,000 OR MORE</li></ul>	☐ 500 TO 999	☐ 1,000 TO 4,999
4 IF SOLD NET GAIN NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	BAXER INTERNATION		ME	
STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES	LESS THAN 100	X 100 TO 499	☐ 500 TO 999	☐ 1,000 TO 4,999
	5,000 TO 9,999	☐ 10,000 OR MORE		
IF SOLD ☑ NET GAIN ☐ NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	BEAM INC COM	NA	ME	
STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES	☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD ⊠ NET GAIN ☐ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	BIOGEN IDEC INC	NA	ME	
STOCK HELD OR ACQUIRED BY	☑ FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES	X LESS THAN 100  ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD   ☑ NET GAIN ☐ NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	BOEING COMPANY	. NA	ME	
STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	
NUMBER OF SHARES	X LESS THAN 100  ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	500 TO 999	☐ 1,000 TO 4,999
IF SOLD X NET GAIN ☐ NET LOSS	☑ LESS THAN \$5,000	<b>\$5,000</b> - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
CORVA	ND ATTACH ADDITION	ONAL PAGES AS	NECESSARY	

Texas Ethics Commission	P.O. Box 120	70 Austin, Texas 78	/11-20/0	(512)463-	5800	1-800-32	5-8506
STOCK						PART	2
☐ NOT APPLICABI	LE						
and indicate the cated	ory of the numbent of the net gain	your spouse, or a depe or of shares held or acquer or loss realized from the	uired. If some or all	of the stock was sold	l, also indic	lar year cate the	
When reporting inform providing the number	nation about a de under which the o	pendent child's activity, child is listed on the Co	indicate the child alver Sheet.	oout whom you are re	porting by		
1 BUSINESS ENTITY	•	CAPITAL ONE FINL	NA	ME			
2 STOCK HELD OR A	ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHILI	D		
<sup>3</sup> NUMBER OF SHAF	RES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	<ul><li>X 100 TO 499</li><li> 10,000 OR MORE</li></ul>	☐ 500 TO 999	☐ 1,000 T	O 4,999	
4 IF SOLD	NET GAIN     □ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	<b>\$10,000 - \$24,999</b>	\$25,000	OR MO	RE
BUSINESS ENTITY	1	CATAMARAN CORP S		ME			
				O DEBENDENT CHILI	D		
STOCK HELD OR A		X FILER	SPOUSE	DEPENDENT CHIL		0.4.000	-
NUMBER OF SHAF	KES	☐ 5,000 TO 9,999	100 TO 499 10,000 OR MORE	☐ 500 TO 999	1,000 T	O 4,999	
IF SOLD	☐ NET GAIN  X NET LOSS	X LESS THAN \$5,000	<b>\$5,000 - \$9,999</b>	* 10,000 - \$24,999	\$25,000	OR MO	RE
	MLI LOSS						
BUSINESS ENTITY		CATERPILLAR INC D		ME			
BUSINESS ENTITY STOCK HELD OR A	′	CATERPILLAR INC D		ME DEPENDENT CHIL	D		
	/ ACQUIRED BY		EL	DEPENDENT CHIL  500 TO 999	D	O 4,999	
STOCK HELD OR	/ ACQUIRED BY	☐ FILER ☐ LESS THAN 100	SPOUSE  100 TO 499  10,000 OR MORE	DEPENDENT CHIL 500 TO 999	1,000 T	www.	
STOCK HELD OR A	ACQUIRED BY RES NET GAIN NET LOSS	☐ 5,000 TO 9,999	SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999	DEPENDENT CHIL 500 TO 999	1,000 T	www.	
STOCK HELD OR AN NUMBER OF SHAF	ACQUIRED BY RES NET GAIN NET LOSS	<ul><li>☐ FILER</li><li>☐ LESS THAN 100</li><li>☐ 5,000 TO 9,999</li><li>☐ LESS THAN \$5,000</li></ul>	SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999	1,000 T	www.	
STOCK HELD OR AN NUMBER OF SHAF	ACQUIRED BY RES NET GAIN NET LOSS	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ CELANESE CORP DE	SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999	DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999  ME  DEPENDENT CHIL  500 TO 999	1,000 T	)OR MO	
STOCK HELD OR AN NUMBER OF SHAFE  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A	ACQUIRED BY RES NET GAIN NET LOSS	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ CELANESE CORP DE ☐ FILER ☐ LESS THAN 100	SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999  EL SER A  SPOUSE  100 TO 499	DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999  ME  DEPENDENT CHIL  500 TO 999	1,000 T	)OR MO	DRE
STOCK HELD OR AN NUMBER OF SHAPE IF SOLD  BUSINESS ENTITY  STOCK HELD OR AN NUMBER OF SHAPE	ACQUIRED BY RES  NET GAIN NET LOSS  ACQUIRED BY RES  X NET GAIN NET LOSS	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ CELANESE CORP DE ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999	SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999  EL SER A  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999  ME ☐ DEPENDENT CHIL ☐ 500 TO 999	1,000 T	OOR MO	DRE
STOCK HELD OR AN NUMBER OF SHAPE IF SOLD  BUSINESS ENTITY  STOCK HELD OR AN NUMBER OF SHAPE IF SOLD	ACQUIRED BY RES  NET GAIN NET LOSS  ACQUIRED BY RES  X NET GAIN NET GAIN NET LOSS	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ CELANESE CORP DE ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000	SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999  EL SER A  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999  ME ☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999	1,000 T  \$25,000  1,000 T	OOR MO	DRE
STOCK HELD OR AN NUMBER OF SHAFE  IF SOLD  BUSINESS ENTITY  STOCK HELD OR AN NUMBER OF SHAFE  IF SOLD  BUSINESS ENTITY	ACQUIRED BY RES  NET GAIN NET LOSS  ACQUIRED BY RES  NET GAIN NET LOSS  ( ACQUIRED BY ACQUIRED BY	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ CELANESE CORP DE ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ CHENIERE ENERGY	SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999  L SER A  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999  ☐ \$10,000 - \$24,999  ME ☐ DEPENDENT CHIL ☐ 500 TO 999  ☐ \$10,000 - \$24,999  ME ☐ DEPENDENT CHIL ☐ 500 TO 999	1,000 T  \$25,000  1,000 T	OOR MO OOR MO	DRE
STOCK HELD OR AN NUMBER OF SHAPE IF SOLD  BUSINESS ENTITY  STOCK HELD OR AN NUMBER OF SHAPE IF SOLD  BUSINESS ENTITY  STOCK HELD OR AN STOCK H	ACQUIRED BY RES  NET GAIN NET LOSS  ACQUIRED BY RES  NET GAIN NET LOSS  ( ACQUIRED BY ACQUIRED BY	ILES THAN 100	EL   SPOUSE   100 TO 499   10,000 OR MORE   \$5,000 - \$9,999   SPOUSE   100 TO 499   10,000 OR MORE   \$5,000 - \$9,999   NA	☐ DEPENDENT CHIL ☐ 500 TO 999  ☐ \$10,000 - \$24,999  ME ☐ DEPENDENT CHIL ☐ 500 TO 999  ☐ \$10,000 - \$24,999  ME ☐ DEPENDENT CHIL ☐ 500 TO 999	1,000 T  \$25,000  1,000 T	OOR MO OOR MO OOR MO	DRE

STOCK				PART 2
☐ NOT APPLICABLE				
List each business entity in which you, and indicate the category of the number category of the amount of the net gain INSTRUCTION GUIDE.	er of shares held or acq	uired. If some or all	of the stock was sold	d, also indicate the
When reporting information about a de providing the number under which the			bout whom you are re	eporting by
<sup>1</sup> BUSINESS ENTITY	CHEVRON CORP	NA	ME	
2 STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
<sup>3</sup> NUMBER OF SHARES	LESS THAN 100	<ul><li>■ 100 TO 499</li><li>■ 10,000 OR MORE</li></ul>	☐ 500 TO 999	☐ 1,000 TO 4,999
4 IF SOLD NET GAIN NET LOSS	☐ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	CHICAGO BRDG &IRG		ME	
STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES	LESS THAN 100	<ul><li>X 100 TO 499</li><li> 10,000 OR MORE</li></ul>	☐ 500 TO 999	1,000 TO 4,999
IF SOLD NET GAIN NET LOSS		\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	CHUBB CORP	NA	ME	
STOCK HELD OR ACQUIRED BY		SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD   ☑ NET GAIN ☐ NET LOSS	☐ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	CISCO SYSTEMS INC		ME	
STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES	LESS THAN 100	<ul><li>■ 100 TO 499</li><li>■ 10,000 OR MORE</li></ul>	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD NET GAIN X NET LOSS	X LESS THAN \$5,000	<b>\$5,000 - \$9,999</b>	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	CLEAN HARBORS IN		ME	
STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES	LESS THAN 100	<ul><li>X 100 TO 499</li><li> 10,000 OR MORE</li></ul>	□ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD ☐ NET GAIN ☐ NET LOSS	☐ LESS THAN \$5,000	<b>\$5,000 - \$9,999</b>	\$10,000 - \$24,999	\$25,000OR MORE
			NECESSARY	

(512)463-5800

STOCK					PART 2	
☐ NOT APPLICABLE						
List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFSINSTRUCTION GUIDE.						
When reporting informate providing the number un	tion about a depender which the d	pendent child's activity, child is listed on the Co	indicate the child at ver Sheet.	oout whom you are re	eporting by	
<sup>1</sup> BUSINESS ENTITY		CLEARBRIDGE ENER	NA GY MLP	ME		
2 STOCK HELD OR AC	QUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D	
<sup>3</sup> NUMBER OF SHARE	:S	LESS THAN 100	<ul><li>X 100 TO 499</li><li> 10,000 OR MORE</li></ul>	☐ 500 TO 999	☐ 1,000 TO 4,999	
<sup>4</sup> IF SOLD [	NET GAIN NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE	
BUSINESS ENTITY	\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\	COCA COLA COM	NA	ME		
STOCK HELD OR AC	QUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D	
NUMBER OF SHARE	ES	LESS THAN 100	<ul><li>X 100 TO 499</li><li>☐ 10,000 OR MORE</li></ul>	□ 500 тО 999	☐ 1,000 TO 4,999	
IF SOLD [	X NET GAIN ☐ NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE	
BUSINESS ENTITY		COGNIZANT TECH S		ME		
STOCK HELD OR AC	CQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D	
NUMBER OF SHARE	ES .	X LESS THAN 100  ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999	
	X NET GAIN  ☐ NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE	
BUSINESS ENTITY		COLUMBIA SEL LG C		ME		
STOCK HELD OR AC	CQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D	
NUMBER OF SHARE	ES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999	
IF SOLD	X NET GAIN  ☐ NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	☐ \$25,000OR MORE	
BUSINESS ENTITY		CREE INC	NA	AME		
STOCK HELD OR AC	COLUBED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	.D	
	SQUIRED BT					
NUMBER OF SHARE		LESS THAN 100  5,000 TO 9,999	<ul><li>X 100 TO 499</li><li> 10,000 OR MORE</li></ul>	☐ 500 TO 999	☐ 1,000 TO 4,999	
		l <u></u>			☐ 1,000 TO 4,999 ☐ \$25,000OR MORE	

STOCK					PART 2
☐ NOT APPLICABLE					
List each business entity in and indicate the category o category of the amount of the INSTRUCTION GUIDE.	f the numbe	r of shares held or acqu	uired. If some or all	of the stock was sold	d, also indicate the
When reporting information providing the number under	about a deprise a de r which the constant a deprise a de	pendent child's activity, child is listed on the Co	indicate the child at ver Sheet.	oout whom you are re	eporting by
<sup>1</sup> BUSINESS ENTITY		D R HORTON INC	NA	ME	
2 STOCK HELD OR ACQU	JIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
<sup>3</sup> NUMBER OF SHARES		☐ LESS THAN 100 ☐ 5,000 TO 9,999	<ul><li>X 100 TO 499</li><li>☐ 10,000 OR MORE</li></ul>	☐ 500 TO 999	☐ 1,000 TO 4,999
II 30LD	NET GAIN NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		DISCOVER FINL SVC	NA S	ME	
STOCK HELD OR ACQU	JIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES		LESS THAN 100	<ul><li>X 100 TO 499</li><li>D 10,000 OR MORE</li></ul>	☐ 500 TO 999	☐ 1,000 TO 4,999
11 OOLD	NET GAIN NET LOSS	LESS THAN \$5,000	∑ \$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		EBAY INC COM	NA	ME	
STOCK HELD OR ACQU	UIRED BY	☑ FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHARES		☐ LESS THAN 100 ☐ 5,000 TO 9,999	<ul><li>■ 100 TO 499</li><li>■ 10,000 OR MORE</li></ul>	☐ 500 TO 999	☐ 1,000 TO 4,999
0010 —	NET GAIN NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		ELAN CORP PLC ADF		ME	
STOCK HELD OR ACQU	UIRED BY		SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES		☐ LESS THAN 100 ☐ 5,000 TO 9,999	<ul><li>X 100 TO 499</li><li>☐ 10,000 OR MORE</li></ul>	☐ 500 TO 999	☐ 1,000 TO 4,999
11 30 LD —	NET GAIN NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		ELI LILLY & CO	NA	ME	
STOCK HELD OR ACQ	UIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES		☐ LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	X 1,000 TO 4,999
" OOLD =	NET GAIN NET LOSS	X LESS THAN \$5,000	<b>\$5,000</b> - <b>\$9,999</b>	\$10,000 - \$24,999	\$25,000OR MORE
	COPY A	ND ATTACH ADDITION	ONAL PAGES AS	NECESSARY	

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STOCK					PART 2
☐ NOT APPLICABLE					
List each business entity in and indicate the category of category of the amount of the INSTRUCTION GUIDE.	the numbe	r of shares held or acq	uired. If some or all	of the stock was sold	l, also indicate the
When reporting information providing the number under	about a de	pendent child's activity, child is listed on the Co	indicate the child at ver Sheet.	oout whom you are re	eporting by
<sup>1</sup> BUSINESS ENTITY		EMERSON ELEC CO	NA	ME.	
<sup>2</sup> STOCK HELD OR ACQU	JIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
<sup>3</sup> NUMBER OF SHARES		☐ LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	X 500 TO 999	☐ 1,000 TO 4,999
11 0020	IET GAIN IET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	X \$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		ENERGY XXI LTD NE	NA W COM	ME	
STOCK HELD OR ACQU	JIRED BY		SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES		LESS THAN 100	<ul><li>X 100 TO 499</li><li> 10,000 OR MORE</li></ul>	□ 500 TO 999	☐ 1,000 TO 4,999
11 00 20	NET GAIN NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		EOG RESOURCES IN		ME	
STOCK HELD OR ACQU	JIRED BY	☑ FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHARES			☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
11 OOLD —	NET GAIN NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		EXPRESS SCRIPTS I		ME	
STOCK HELD OR ACQU	JIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES		X LESS THAN 100  ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	□ 500 TO 999	1,000 TO 4,999
0025	NET GAIN NET LOSS	☐ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		EXXON MOBIL CORF		ME	
STOCK HELD OR ACQU	JIRED BY		SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHARES		LESS THAN 100	<ul><li>X 100 TO 499</li><li> 10,000 OR MORE</li></ul>	☐ 500 TO 999	☐ 1,000 TO 4,999
11 30 20	NET GAIN NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
	COBY A	ND ATTACH ADDITION	ONAL PAGES AS	NECESSARY	

Texas Ethics Commission

STOCK				PART 2
☐ NOT APPLICABLE				
List each business entity in which you, and indicate the category of the number category of the amount of the net gain INSTRUCTION GUIDE.	er of shares held or acq	uired. If some or all	of the stock was sold	d, also indicate the
When reporting information about a de providing the number under which the	pendent child's activity, child is listed on the Co	ver Sheet.		eporting by
<sup>1</sup> BUSINESS ENTITY	FORD MOTOR CO	NA	ME	
2 STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
<sup>3</sup> NUMBER OF SHARES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 <b>TO</b> 999	X 1,000 TO 4,999
4 IF SOLD NET GAIN NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	FRAC KINDER MORG		ME	
STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHARES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	<ul><li>■ 100 TO 499</li><li>■ 10,000 OR MORE</li></ul>	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD X NET GAIN NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	FREEPRT-MCMRAN		ME	
STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHARES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	<b>☒</b> 500 TO 999	1,000 TO 4,999
IF SOLD NET GAIN NET LOSS	X LESS THAN \$5,000	<b>55,000 - \$9,999</b>	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	GABELLI DIV & INC T		ME	
STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES	LESS THAN 100	<ul><li>X 100 TO 499</li><li>☐ 10,000 OR MORE</li></ul>	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD   ☐ NET GAIN ☐ NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	GNC HOLDINGS INC		ME	
STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	.D
NUMBER OF SHARES	LESS THAN 100	<ul><li>☒ 100 TO 499</li><li>☐ 10,000 OR MORE</li></ul>	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD ☐ NET GAIN ☐ NET LOSS	X LESS THAN \$5,000	<b>\$5,000</b> - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
COBY A	ND ATTACH ADDITION	ONAL PAGES AS	NECESSARY	

Austin, Texas 78711-2070

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STOCK					PART 2
☐ NOT APPLICABL	.E				
and indicate the category	ory of the numbe t of the net gain o	your spouse, or a depe r of shares held or acq or loss realized from the	uired. If some or all	of the stock was sold	l, also indicate the
When reporting inform providing the number of	ation about a depunder which the d	pendent child's activity, child is listed on the Co	indicate the child at ver Sheet.	oout whom you are re	porting by
<sup>1</sup> BUSINESS ENTITY		HALLIBURTON COMF		ME	
2 STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
<sup>3</sup> NUMBER OF SHAR	ES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	X 1,000 TO 4,999
<sup>4</sup> IF SOLD	☐ NET GAIN ☑ NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		HERTZ GLOBAL HOL		ME	
STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHAR	ES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	<ul><li>X 100 TO 499</li><li>✓ 10,000 OR MORE</li></ul>	□ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	NET GAIN ☐ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY			NA	ME	
		HOME DEPOT INC			
STOCK HELD OR A		HOME DEPOT INC	SPOUSE	DEPENDENT CHIL	D
	ACQUIRED BY		☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	D 1,000 TO 4,999
STOCK HELD OR A	ACQUIRED BY	☐ FILER ☐ LESS THAN 100	☐ 100 TO 499	☐ 500 TO 999	
STOCK HELD OR A	ACQUIRED BY RES  NET GAIN NET LOSS	☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	□ 500 TO 999	1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAR IF SOLD	ACQUIRED BY RES  NET GAIN NET LOSS	<ul><li>☐ FILER</li><li>☐ LESS THAN 100</li><li>☐ 5,000 TO 9,999</li><li>☐ LESS THAN \$5,000</li></ul>	☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	□ \$10,000 - \$24,999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY	ACQUIRED BY  RES  NET GAIN NET LOSS  ACQUIRED BY	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 HONEYWELL INTL IN	100 TO 499 10,000 OR MORE \$5,000 - \$9,999  NA	\$10,000 - \$24,999  ME  DEPENDENT CHIL  500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A	ACQUIRED BY  RES  NET GAIN NET LOSS  ACQUIRED BY	☐ FILER  ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  HONEYWELL INTL IN ☐ FILER ☐ LESS THAN 100	☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999  C DEL ☐ SPOUSE ☐ 100 TO 499	\$10,000 - \$24,999  ME  DEPENDENT CHIL  500 TO 999	1,000 TO 4,999  \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A NUMBER OF SHAR	ACQUIRED BY RES  NET GAIN NET LOSS  ACQUIRED BY RES  NET GAIN NET LOSS	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ HONEYWELL INTL IN ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999  C DEL ☐ SPOUSE ☐ 10,000 OR MORE ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	500 TO 999  \$10,000 - \$24,999   ME  DEPENDENT CHIL  500 TO 999	☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  D ☐ 1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A NUMBER OF SHAR  IF SOLD	ACQUIRED BY RES  NET GAIN NET LOSS  ACQUIRED BY RES  NET GAIN NET LOSS	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ HONEYWELL INTL IN ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000	☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999  C DEL ☐ SPOUSE ☐ 10,000 OR MORE ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	500 TO 999  \$10,000 - \$24,999  ME  DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999	☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  ☐ 1,000 TO 4,999  ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY	ACQUIRED BY RES  NET GAIN NET LOSS  ACQUIRED BY RES  NET GAIN NET LOSS	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ HONEYWELL INTL IN ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ INGREDION INC SHS	☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999  C DEL ☐ SPOUSE ☐ 10,000 OR MORE ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	500 TO 999  \$10,000 - \$24,999  ME  DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999  ME  DEPENDENT CHIL  500 TO 999	☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  ☐ 1,000 TO 4,999  ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A	ACQUIRED BY RES  NET GAIN NET LOSS  ACQUIRED BY RES  NET GAIN NET LOSS	ILESS THAN 100	☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999  C DEL ☐ SPOUSE ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999  NA ☐ SPOUSE ☐ SPOUSE ☐ \$100 TO 499 ☐ 10,000 OR MORE	500 TO 999  \$10,000 - \$24,999  ME  DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999  ME  DEPENDENT CHIL  500 TO 999	☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  ☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  ☐ □ 1,000 TO 4,999

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STOCK					PART Z
☐ NOT APPLICABLE					
List each business entity in vand indicate the category of category of the amount of the INSTRUCTION GUIDE.	the numbe	r of shares held or acqu	uired. If some or all	of the stock was sold	I, also indicate the
When reporting information a providing the number under	about a de which the	pendent child's activity, child is listed on the Co	ver Sheet.		eporting by
<sup>1</sup> BUSINESS ENTITY		INTL PAPER CO	NA	ME	
2 STOCK HELD OR ACQUI	IRED BY	▼ FILER	SPOUSE	DEPENDENT CHILI	D
<sup>3</sup> NUMBER OF SHARES		☐ LESS THAN 100 ☐ 5,000 TO 9,999	<ul><li>■ 100 TO 499</li><li>■ 10,000 OR MORE</li></ul>	☐ 500 TO 999	☐ 1,000 TO 4,999
11 COLD —	ET GAIN ET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		ISHARES BARCLAYS		ME	
STOCK HELD OR ACQU	IRED BY	X FILER	SPOUSE .	☐ DEPENDENT CHIL	D
NUMBER OF SHARES		X LESS THAN 100  ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
II 00LD	ET GAIN ET LOSS	☐ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		ISHARES PHLX	NA	ME	
STOCK HELD OR ACQU	IRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHARES		X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
0020	ET GAIN ET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		ISHARES S&P 100	NA	ME	
STOCK HELD OR ACQU	IRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHARES		X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
11 0020	ET GAIN ET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		ISHARES S&P GLBL I		ME	
STOCK HELD OR ACQU	IRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES		X LESS THAN 100	☐ 100 TO 499	☐ 500 TO 999	☐ 1,000 TO 4,999
		☐ 5,000 TO 9,999	☐ 10,000 OR MORE	<u> </u>	
- II OOLD -	IET GAIN IET LOSS		10,000 OR MORE		\$25,000OR MORE

STOCK				PART 2		
☐ NOT APPLICABLE						
List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFSINSTRUCTION GUIDE.						
When reporting information about a deproviding the number under which the	ependent child's activity, child is listed on the Co	ver Sheet.		eporting by		
<sup>1</sup> BUSINESS ENTITY	ISHARES S&P GLOBAL 100					
<sup>2</sup> STOCK HELD OR ACQUIRED BY	☑ FILER	SPOUSE	☐ DEPENDENT CHIL	D		
<sup>3</sup> NUMBER OF SHARES	☑ LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999		
4 IF SOLD  ☐ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE		
BUSINESS ENTITY	ISHARES SILVER TR	N.F	AME			
STOCK HELD OR ACQUIRED BY	▼ FILER	SPOUSE	☐ DEPENDENT CHIL	.D		
NUMBER OF SHARES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999		
IF SOLD ☐ NET GAIN ☐ NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE		
NA COLOR						
BUSINESS ENTITY	JOHNSON AND JOHN		AME			
BUSINESS ENTITY  STOCK HELD OR ACQUIRED BY			AME  DEPENDENT CHIL	.D		
		NSON COM	DEPENDENT CHIL	 1,000 TO 4,999		
STOCK HELD OR ACQUIRED BY	☐ LESS THAN 100	SPOUSE  100 TO 499	DEPENDENT CHIL			
STOCK HELD OR ACQUIRED BY NUMBER OF SHARES  IF SOLD   NET GAIN	☐ LESS THAN 100☐ 5,000 TO 9,999	NSON COM  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999	DEPENDENT CHIL	1,000 TO 4,999		
STOCK HELD OR ACQUIRED BY NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  KINDER MORGANS M	NSON COM  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ ☐ \$10,000 - \$24,999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE		
STOCK HELD OR ACQUIRED BY NUMBER OF SHARES  IF SOLD  NET GAIN NET LOSS  BUSINESS ENTITY	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  KINDER MORGANS M	SON COM  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999	DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999  AME  DEPENDENT CHIL  500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE		
STOCK HELD OR ACQUIRED BY NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY  STOCK HELD OR ACQUIRED BY	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ KINDER MORGANS M ☐ ☐ FILER ☐ LESS THAN 100	SPOUSE   S	DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999  AME  DEPENDENT CHIL  500 TO 999	1,000 TO 4,999  \$25,000OR MORE		
STOCK HELD OR ACQUIRED BY NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY  STOCK HELD OR ACQUIRED BY NUMBER OF SHARES  IF SOLD NET GAIN	☐ LESS THAN 100 ☐ 5,000 TO 9,999  ☐ LESS THAN \$5,000  ☐ KINDER MORGANS M ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999	SPOUSE     100 TO 499   10,000 OR MORE   \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999  =	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ ☐ 1,000 TO 4,999		
STOCK HELD OR ACQUIRED BY NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY  STOCK HELD OR ACQUIRED BY NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ KINDER MORGANS M ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ LENNAR CORP CL A	SPOUSE     100 TO 499   10,000 OR MORE   \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999  =	☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  D ☐ 1,000 TO 4,999  ☐ \$25,000OR MORE		
STOCK HELD OR ACQUIRED BY NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY  STOCK HELD OR ACQUIRED BY NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ KINDER MORGANS M ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ LENNAR CORP CL A	SPOUSE     100 TO 499   10,000 OR MORE   \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999  =	☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  D ☐ 1,000 TO 4,999  ☐ \$25,000OR MORE		
STOCK HELD OR ACQUIRED BY NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY  STOCK HELD OR ACQUIRED BY NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY  STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE     10,000 OR MORE     SPOUSE     10,000 OR MORE     SPOUSE     10,000 OR MORE       10,000 OR MORE	☐ DEPENDENT CHIL ☐ 500 TO 999  =	☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  D ☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  D ☐ 1,000 TO 4,999		

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☐ NOT APPLICABL	E				
and indicate the catego	ory of the numbe t of the net gain	your spouse, or a depe er of shares held or acquor loss realized from the	uired. If some or all	of the stock was solo	d, also indicate the
		pendent child's activity, child is listed on the Co		bout whom you are re	eporting by
<sup>1</sup> BUSINESS ENTITY		LINEAR TECHONOLG		ME	
2 STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
<sup>3</sup> NUMBER OF SHAR	ES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	<ul><li>X 100 TO 499</li><li>☐ 10,000 OR MORE</li></ul>	☐ 500 TO 999	☐ 1,000 TO 4,999
<sup>4</sup> IF SOLD	☐ NET GAIN ☑ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		LORILLARD INC	NA	ME	
STOCK HELD OR A	CQUIRED BY	☑ FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHAR	ES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	☐ NET GAIN ☑ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		LYONDELLBASELL IN		ME	
			100011112		
STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
STOCK HELD OR A NUMBER OF SHAR				☐ 500 TO 999	1,000 TO 4,999
		☑ FILER ☐ LESS THAN 100	☐ SPOUSE  ☑ 100 TO 499	☐ 500 TO 999	
NUMBER OF SHAR	ES  NET GAIN	☐ LESS THAN 100☐ 5,000 TO 9,999	☐ SPOUSE  ☑ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	500 TO 999	1,000 TO 4,999
NUMBER OF SHAR	ES  NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000	☐ SPOUSE  ☑ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	☐ 500 TO 999 : : : \$10,000 - \$24,999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY	ES  ☑ NET GAIN ☐ NET LOSS  .CQUIRED BY	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  MARKET VECTORS A	SPOUSE  100 TO 499 10,000 OR MORE \$5,000 - \$9,999	500 TO 999  \$10,000 - \$24,999  ME  DEPENDENT CHIL  500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
IF SOLD  BUSINESS ENTITY  STOCK HELD OR A	ES  ☑ NET GAIN ☐ NET LOSS  .CQUIRED BY	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  MARKET VECTORS A ☐ FILER ☐ LESS THAN 100	☐ SPOUSE  ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999  NA AGRBUSNSS ☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE	500 TO 999  \$10,000 - \$24,999  ME  DEPENDENT CHIL  500 TO 999	1,000 TO 4,999  \$25,000OR MORE
NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A  NUMBER OF SHAR	ES  NET GAIN NET LOSS  CQUIRED BY ES	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  MARKET VECTORS A ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999	☐ SPOUSE  ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999  AGRBUSNSS ☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	500 TO 999  \$10,000 - \$24,999   ME  DEPENDENT CHIL  500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ D ☐ 1,000 TO 4,999
IF SOLD  BUSINESS ENTITY  STOCK HELD OR A  NUMBER OF SHAR	ES  NET GAIN NET LOSS  CQUIRED BY ES  NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  MARKET VECTORS A ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000	☐ SPOUSE  ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999  AGRBUSNSS ☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	500 TO 999  \$10,000 - \$24,999   MME  DEPENDENT CHIL  500 TO 999   \$10,000 - \$24,999	1,000 TO 4,999  \$25,000OR MORE  1,000 TO 4,999  \$25,000OR MORE
IF SOLD  BUSINESS ENTITY  STOCK HELD OR A  NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY	ES  NET GAIN NET LOSS  CQUIRED BY ES  NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  MARKET VECTORS A ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  MARKET VECTOS ET	☐ SPOUSE  ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999  NA AGRBUSNSS ☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999  TF TR	500 TO 999	1,000 TO 4,999  \$25,000OR MORE  1,000 TO 4,999  \$25,000OR MORE
IF SOLD  BUSINESS ENTITY  STOCK HELD OR A  NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A	ES  NET GAIN NET LOSS  CQUIRED BY ES  NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  MARKET VECTORS A ☐ FILER ☐ LESS THAN \$5,000  MARKET VECTORS A ☐ FILER ☐ LESS THAN \$5,000  MARKET VECTOS ET ☐ LESS THAN 100	☐ SPOUSE  ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999  AGRBUSNSS ☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999  FF TR ☐ SPOUSE ☐ 100 TO 499	500 TO 999	☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  D

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☐ NOT APPLICABL	E				
and indicate the catego	ory of the numbe t of the net gain	your spouse, or a depe or of shares held or acque or loss realized from the	uired. If some or all	of the stock was sold	I, also indicate the
When reporting information providing the number u	ation about a de under which the	pendent child's activity, child is listed on the Co	ver Sheet.		eporting by
<sup>1</sup> BUSINESS ENTITY		MCDONALDS CORP (		ME	
2 STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
<sup>3</sup> NUMBER OF SHAR	ES	LESS THAN 100	<ul><li>X 100 TO 499</li><li>☐ 10,000 OR MORE</li></ul>	☐ 500 TO 999	☐ 1,000 TO 4,999
<sup>4</sup> IF SOLD	X NET GAIN ☐ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		MEDTRONIC INC CO		ME	
STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHAR	ES	LESS THAN 100	<ul><li>■ 100 TO 499</li><li>■ 10,000 OR MORE</li></ul>	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	NET GAIN ☐ NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	<b>\$10,000 - \$24,999</b>	\$25,000OR MORE
BUSINESS ENTITY		MICROCHIP TECHNO		ME	
BUSINESS ENTITY  STOCK HELD OR A		MICROCHIP TECHNO		ME DEPENDENT CHIL	D
	CQUIRED BY		LOGY INC	DEPENDENT CHIL 500 TO 999	D 1,000 TO 4,999
STOCK HELD OR A	CQUIRED BY	☐ FILER ☐ LESS THAN 100	SPOUSE  100 TO 499	DEPENDENT CHIL 500 TO 999	
STOCK HELD OR A	CQUIRED BY RES  NET GAIN NET LOSS	☐ 5,000 TO 9,999	SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999	DEPENDENT CHIL	1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAR IF SOLD	CQUIRED BY RES  IN NET GAIN IN NET LOSS	<ul><li>☐ FILER</li><li>☐ LESS THAN 100</li><li>☐ 5,000 TO 9,999</li><li>☐ LESS THAN \$5,000</li></ul>	SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY	ACQUIRED BY RES  NET GAIN NET LOSS  ACQUIRED BY	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  MICROSOFT CORP	DLOGY INC  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999  ME ☐ DEPENDENT CHIL ☒ 500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A	ACQUIRED BY RES  NET GAIN NET LOSS  ACQUIRED BY	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ MICROSOFT CORP ☐ FILER ☐ LESS THAN 100	SPOUSE  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999  NA  SPOUSE  100 TO 499	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999  ME ☐ DEPENDENT CHIL ☒ 500 TO 999	1,000 TO 4,999  \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A NUMBER OF SHAR	ACQUIRED BY RES  NET GAIN NET LOSS  ACQUIRED BY RES  NET GAIN NET LOSS	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ MICROSOFT CORP ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999	SPOUSE   100 TO 499   10,000 OR MORE   100 TO 499   NA	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999  ME ☐ DEPENDENT CHIL ☐ 500 TO 999	☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  ☐ 1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A NUMBER OF SHAR  IF SOLD	ACQUIRED BY RES    NET GAIN   NET LOSS   ACQUIRED BY RES   NET GAIN   NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  MICROSOFT CORP ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000	SPOUSE   100 TO 499   10,000 OR MORE   100 TO 499   NA	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999  ME ☐ DEPENDENT CHIL [X] 500 TO 999 ☐ \$10,000 - \$24,999	☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  ☐ 1,000 TO 4,999  ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY	ACQUIRED BY  RES  ACQUIRED BY  RES  ACQUIRED BY  RES  ACQUIRED BY  ACQUIRED BY	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  MICROSOFT CORP ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  MORGAN STANLEY	SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999  NA  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999  ME ☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999  ME ☐ DEPENDENT CHIL ☐ \$10,000 - \$24,999	☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  ☐ 1,000 TO 4,999  ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A	ACQUIRED BY  RES  ACQUIRED BY  RES  ACQUIRED BY  RES  ACQUIRED BY  ACQUIRED BY	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  MICROSOFT CORP ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  MORGAN STANLEY ☐ LESS THAN 100 ☐ LESS THAN 100	SPOUSE   100 TO 499   10,000 OR MORE   100 TO 499   NA	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999  ME ☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999  ME ☐ DEPENDENT CHIL ☐ \$10,000 - \$24,999	☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  ☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  D

STOCK					PARI Z
☐ NOT APPLICAB	LE				
and indicate the cated	ory of the numbent of the net gain	your spouse, or a depe er of shares held or acq or loss realized from th	uired. If some or all	of the stock was sold	d, also indicate the
When reporting inform providing the number	nation about a de under which the	pendent child's activity, child is listed on the Co	, indicate the child al ver Sheet.	bout whom you are re	eporting by
<sup>1</sup> BUSINESS ENTITY	,	NOBLE ENERGY INC	NA	ME	
2 STOCK HELD OR A	ACQUIRED BY		SPOUSE	DEPENDENT CHIL	D
<sup>3</sup> NUMBER OF SHAF	RES	X LESS THAN 100  ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	□ 500 TO 999	☐ 1,000 TO 4,999
4 IF SOLD	X NET GAIN ☐ NET LOSS	☐ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	,	NORDSTROM INC	NA	ME	
STOCK HELD OR A	ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHAF	RES	LESS THAN 100	☐ 100 TO 499 ☐ 10,000 OR MORE	X 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	X NET GAIN ☐ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	/	NOVO NORDISK A S		ME	
STOCK HELD OR /	ACQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHAF	RES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	X NET GAIN ☐ NET LOSS	☑ LESS THAN \$5,000	<b>\$5,000 - \$9,999</b>	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	1	OCWEN FINL CORP		ME	
STOCK HELD OR	ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHAP	RES	LESS THAN 100	<ul><li>X 100 TO 499</li><li>☐ 10,000 OR MORE</li></ul>	☐ 500 TO 999	1,000 TO 4,999
IF SOLD	X NET GAIN ☐ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	(	OMNICARE INC	N/ª	ME	
STOCK HELD OR	ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHAP	RES	LESS THAN 100	<ul><li>X 100 TO 499</li><li> 10,000 OR MORE</li></ul>	☐ 500 TO 999	1,000 TO 4,999
IF SOLD	X NET GAIN ☐ NET LOSS	☐ LESS THAN \$5,000	<b>55,000 - \$9,999</b>	\$10,000 - \$24,999	\$25,000OR MORE

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and indicate the categ	ory of the numbent of the net gain	your spouse, or a depe or of shares held or acque or loss realized from the	uired. If some or all	of the stock was solo	d, also indicate the
		pendent child's activity, child is listed on the Co	ver Sheet.		eporting by
<sup>1</sup> BUSINESS ENTITY	,	PAYCHEX INC			
2 STOCK HELD OR A	ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
<sup>3</sup> NUMBER OF SHAF	RES	LESS THAN 100	<ul><li>X 100 TO 499</li><li>☐ 10,000 OR MORE</li></ul>	□ 500 TO 999 :	☐ 1,000 TO 4,999
<sup>4</sup> IF SOLD	X NET GAIN ☐ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	,	PERRIGO CO	NA	ME	
STOCK HELD OR A	ACQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHAF	RES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	□ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	X NET GAIN ☐ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	<u>'</u>	PFIZER INC	NA	AME	
BUSINESS ENTITY STOCK HELD OR A		PFIZER INC	NA SPOUSE	AME  DEPENDENT CHIL	D
	ACQUIRED BY			DEPENDENT CHIL	D 1,000 TO 4,999
STOCK HELD OR A	ACQUIRED BY	☐ LESS THAN 100	☐ SPOUSE ☑ 100 TO 499	DEPENDENT CHIL	
STOCK HELD OR A	ACQUIRED BY RES  NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999	☐ SPOUSE  ☑ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	DEPENDENT CHIL 500 TO 999	1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAP IF SOLD	ACQUIRED BY RES  NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000	☐ SPOUSE  ☑ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999   ☐ \$10,000 - \$24,999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY	ACQUIRED BY RES  NET GAIN NET LOSS	☐ LESS THAN 100☐ 5,000 TO 9,999☐ ☐ LESS THAN \$5,000☐ PHILLIP MORRIS INTI	SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999	DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999  AME  DEPENDENT CHIL  500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAF  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A	ACQUIRED BY RES  NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 PHILLIP MORRIS INTI ☐ FILER ☐ LESS THAN 100	SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999  LINC.  SPOUSE  100 TO 499	DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999  AME  DEPENDENT CHIL  500 TO 999	1,000 TO 4,999  \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAF  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A NUMBER OF SHAF	ACQUIRED BY RES  NET GAIN NET LOSS  ACQUIRED BY RES  NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ PHILLIP MORRIS INTI ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999	SPOUSE  \[ \text{ 100 TO 499} \] \[ \text{ 10,000 OR MORE} \] \[ \text{ \$5,000 - \$9,999} \]  L INC.  \[ \text{ SPOUSE} \] \[ \text{ 100 TO 499} \] \[ \text{ 10,000 OR MORE} \] \[ \text{ \$5,000 - \$9,999} \]	☐ DEPENDENT CHIL ☐ 500 TO 999  5 ☐ \$10,000 - \$24,999  AME ☐ DEPENDENT CHIL ☐ 500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ 1,000 TO 4,999 ☐ 1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAP  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A NUMBER OF SHAP	ACQUIRED BY RES  NET GAIN NET LOSS  ACQUIRED BY RES  NET GAIN NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ PHILLIP MORRIS INTI ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000	SPOUSE  \[ \text{ 100 TO 499} \] \[ \text{ 10,000 OR MORE} \] \[ \text{ \$5,000 - \$9,999} \]  L INC.  \[ \text{ SPOUSE} \] \[ \text{ 100 TO 499} \] \[ \text{ 10,000 OR MORE} \] \[ \text{ \$5,000 - \$9,999} \]	DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999  AME  DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999	1,000 TO 4,999  \$25,000OR MORE  1,000 TO 4,999  \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAF  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A NUMBER OF SHAF  IF SOLD  BUSINESS ENTITY	ACQUIRED BY RES  NET GAIN NET LOSS  ACQUIRED BY RES  NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  PHILLIP MORRIS INTI ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  PLUM CREEK TIMBEI	SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999  LINC.  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999  R CO INC	☐ DEPENDENT CHIL ☐ 500 TO 999  E ☐ \$10,000 - \$24,999  AME ☐ DEPENDENT CHIL ☐ 500 TO 999  E ☐ \$10,000 - \$24,999  AME ☐ DEPENDENT CHIL ☐ 500 TO 999	1,000 TO 4,999  \$25,000OR MORE  1,000 TO 4,999  \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAP  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A NUMBER OF SHAP  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A	ACQUIRED BY RES  NET GAIN NET LOSS  ACQUIRED BY RES  NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ PHILLIP MORRIS INTI ☐ FILER ☐ LESS THAN \$5,000 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ PLUM CREEK TIMBEI ☐ LESS THAN 100	□ SPOUSE  □ 100 TO 499 □ 10,000 OR MORE □ \$5,000 - \$9,999  L INC. □ SPOUSE □ 100 TO 499 □ 10,000 OR MORE □ \$5,000 - \$9,999  R CO INC □ SPOUSE □ 100 TO 499	☐ DEPENDENT CHIL ☐ 500 TO 999  E ☐ \$10,000 - \$24,999  AME ☐ DEPENDENT CHIL ☐ 500 TO 999  E ☐ \$10,000 - \$24,999  AME ☐ DEPENDENT CHIL ☐ 500 TO 999	☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  ☐ 1,000 TO 4,999  ☐ \$25,000OR MORE

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and indicate the category	ory of the numbe It of the net gain o	your spouse, or a depe or of shares held or acque or loss realized from the	uired. If some or all	of the stock was sold	d, also indicate the
When reporting inform providing the number to	When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.				
<sup>1</sup> BUSINESS ENTITY		POWERSHARES QQC		ME	
2 STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	DEPENDENT CHILI	D
<sup>3</sup> NUMBER OF SHAR	RES	<ul><li>X LESS THAN 100</li><li>D 5,000 TO 9,999</li></ul>	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
<sup>4</sup> IF SOLD	X NET GAIN ☐ NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	,	POWERSHARES S&P		ME	
STOCK HELD OR A	ACQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHAR	RES	LESS THAN 100	<ul><li>X 100 TO 499</li><li>☐ 10,000 OR MORE</li></ul>	□ 500 TO 999	1,000 TO 4,999
IF SOLD	X NET GAIN ☐ NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY					
BUSINESS ENTITY	,	PRIN PRFD SEC FD (		ME	
BUSINESS ENTITY STOCK HELD OR A		PRIN PRFD SEC FD C		ME DEPENDENT CHIL	D
	ACQUIRED BY		CL P	DEPENDENT CHIL 500 TO 999	.D ☐ 1,000 TO 4,999
STOCK HELD OR A	ACQUIRED BY	☐ LESS THAN 100	SPOUSE  100 TO 499	DEPENDENT CHIL 500 TO 999	
STOCK HELD OR A	ACQUIRED BY RES NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999	CL P SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	DEPENDENT CHIL 500 TO 999	1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAF IF SOLD	ACQUIRED BY RES NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000	CL P SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 : ☐ \$10,000 - \$24,999	1,000 TO 4,999 \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY	ACQUIRED BY  RES  NET GAIN  NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ PROCTER & GAMBLE	CL P SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999  MME  DEPENDENT CHIL  500 TO 999	1,000 TO 4,999 \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAF  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A	ACQUIRED BY  RES  NET GAIN  NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  PROCTER & GAMBLE ☐ FILER ☐ LESS THAN 100	SPOUSE  \$ 100 TO 499  10,000 OR MORE  \$ 5,000 - \$9,999  NA  SPOUSE  100 TO 499  10,000 OR MORE	DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999  MME  DEPENDENT CHIL  500 TO 999	1,000 TO 4,999  \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAF  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A NUMBER OF SHAF	ACQUIRED BY RES  NET GAIN NET LOSS  ACQUIRED BY RES  NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ PROCTER & GAMBLE ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999	SPOUSE    SPOUSE     100 TO 499     10,000 OR MORE     \$5,000 - \$9,999     SPOUSE     10,000 OR MORE     10,000 OR MORE     \$5,000 - \$9,999	DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999  AME  DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999	1,000 TO 4,999  \$25,000OR MORE  D  1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAF  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A NUMBER OF SHAF	ACQUIRED BY RES  NET GAIN NET LOSS  ACQUIRED BY RES  NET GAIN NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  PROCTER & GAMBLE ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ LESS THAN \$5,000	SPOUSE    SPOUSE     100 TO 499     10,000 OR MORE     \$5,000 - \$9,999     SPOUSE     10,000 OR MORE     10,000 OR MORE     \$5,000 - \$9,999	DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999  AME  DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999	1,000 TO 4,999  \$25,000OR MORE  D  1,000 TO 4,999  \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAF  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A NUMBER OF SHAF  IF SOLD  BUSINESS ENTITY	ACQUIRED BY RES  NET GAIN NET LOSS  ACQUIRED BY RES  NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999  ☐ LESS THAN \$5,000  PROCTER & GAMBLE ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000  PROSHARES ULTRA	SPOUSE    SPOUSE   100 TO 499   10,000 OR MORE   10,000 OR MORE   100 TO 499   10,000 OR MORE   10,000 OR MORE   \$5,000 - \$9,999   SHORT RUSSELL 20	DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999  MME  DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999  MME  DEPENDENT CHIL  500 TO 999  DEPENDENT CHIL  500 TO 999	1,000 TO 4,999  \$25,000OR MORE  D  1,000 TO 4,999  \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAF  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A NUMBER OF SHAF  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A	ACQUIRED BY RES  NET GAIN NET LOSS  ACQUIRED BY RES  NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ PROCTER & GAMBLE ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ PROSHARES ULTRAS ☐ LESS THAN 100 ☐ LESS THAN 100	SPOUSE    SPOUSE     100 TO 499     10,000 OR MORE     \$5,000 - \$9,999     SPOUSE     100 TO 499     10,000 OR MORE     \$5,000 - \$9,999     SHORT RUSSELL 26     SPOUSE     100 TO 499	DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999   ME  DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999   ME  DEPENDENT CHIL  500 TO 999  5000  DEPENDENT CHIL  500 TO 999	1,000 TO 4,999  \$25,000OR MORE  D  1,000 TO 4,999  \$25,000OR MORE

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☐ NOT APPLICABI	LE				
and indicate the cated	ory of the numbe nt of the net gain	your spouse, or a depe er of shares held or acqu or loss realized from the	uired. If some or all	of the stock was sold	d, also indicate the
When reporting inform providing the number	nation about a depunder which the o	pendent child's activity, child is listed on the Co	indicate the child al ver Sheet.	bout whom you are re	eporting by
<sup>1</sup> BUSINESS ENTITY	,	PROTHENA CORP PLC SHS			
2 STOCK HELD OR A	ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
<sup>3</sup> NUMBER OF SHAF	RES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	□ 500 TO 999	☐ 1,000 TO 4,999
<sup>4</sup> IF SOLD	☐ NET GAIN  X NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	,	PVH CORP	NA	ME	
STOCK HELD OR A	ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHAF	RES	<ul><li>X LESS THAN 100</li><li>☐ 5,000 TO 9,999</li></ul>	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	NET GAIN     □ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	1	QUESTR CORP NPV	NA	ME	
BUSINESS ENTITY STOCK HELD OR A		QUESTR CORP NPV	NA □ SPOUSE	ME  DEPENDENT CHIL	.D
	ACQUIRED BY			DEPENDENT CHIL	 ☐ 1,000 TO 4,999
STOCK HELD OR A	ACQUIRED BY	☐ LESS THAN 100	☐ SPOUSE  ☑ 100 TO 499	DEPENDENT CHIL	2007
STOCK HELD OR A	ACQUIRED BY RES  NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999	☐ SPOUSE  ☑ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	DEPENDENT CHIL	☐ 1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAF IF SOLD	ACQUIRED BY RES  NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000	☐ SPOUSE  ☑ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 : ☐ \$10,000 - \$24,999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR AN NUMBER OF SHAF	ACQUIRED BY RES  NET GAIN NET LOSS  ACQUIRED BY	☐ LESS THAN 100☐ 5,000 TO 9,999☐ ☐ LESS THAN \$5,000☐ REGENERON PHARM	SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999	DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999   ME  DEPENDENT CHIL  500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR AN NUMBER OF SHAPE IF SOLD  BUSINESS ENTITY  STOCK HELD OR A	ACQUIRED BY RES  NET GAIN NET LOSS  ACQUIRED BY	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ REGENERON PHARM ☐ FILER ☐ LESS THAN 100	SPOUSE  100 TO 499 10,000 OR MORE \$5,000 - \$9,999  MACTCLS SPOUSE 100 TO 499 10,000 OR MORE	DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999   ME  DEPENDENT CHIL  500 TO 999	1,000 TO 4,999  \$25,000OR MORE
STOCK HELD OR AN NUMBER OF SHAFE  BUSINESS ENTITY  STOCK HELD OR AN NUMBER OF SHAFE	ACQUIRED BY RES  NET GAIN NET LOSS  ACQUIRED BY RES  NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ REGENERON PHARM ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999	SPOUSE  100 TO 499 10,000 OR MORE \$5,000 - \$9,999  MACTCLS SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999   ME  DEPENDENT CHIL  500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ D ☐ 1,000 TO 4,999
STOCK HELD OR AN NUMBER OF SHAFE  IF SOLD  BUSINESS ENTITY  STOCK HELD OR AN NUMBER OF SHAFE  IF SOLD	ACQUIRED BY RES  NET GAIN NET LOSS  ACQUIRED BY RES  NET GAIN NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ REGENERON PHARM ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000	SPOUSE  100 TO 499 10,000 OR MORE \$5,000 - \$9,999  MACTCLS SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999  DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999	☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  ☐ 1,000 TO 4,999  ☐ \$25,000OR MORE
STOCK HELD OR AN NUMBER OF SHAFE  IF SOLD  BUSINESS ENTITY  STOCK HELD OR AN NUMBER OF SHAFE  IF SOLD  BUSINESS ENTITY	ACQUIRED BY RES  NET GAIN NET LOSS  ACQUIRED BY RES  NET GAIN NET LOSS  ACQUIRED BY ACQUIRED BY	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ REGENERON PHARM ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ ROBERTHALF INTL II	SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999  MACTCLS  SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999  NC COM	DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999   ME  DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999   ME  DEPENDENT CHIL  500 TO 999	☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  ☐ 1,000 TO 4,999  ☐ \$25,000OR MORE
STOCK HELD OR AN NUMBER OF SHAFE  IF SOLD  BUSINESS ENTITY  STOCK HELD OR AN NUMBER OF SHAFE  IF SOLD  BUSINESS ENTITY  STOCK HELD OR AN STOCK HELD OR AN	ACQUIRED BY RES  NET GAIN NET LOSS  ACQUIRED BY RES  NET GAIN NET LOSS  ACQUIRED BY ACQUIRED BY	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ REGENERON PHARM ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ ROBERTHALF INTL II ☐ FILER ☐ LESS THAN 100	☐ SPOUSE  ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999  MACTCLS ☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999  NC COM ☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE	DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999   ME  DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999   ME  DEPENDENT CHIL  500 TO 999	☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  ☐ 1,000 TO 4,999  ☐ \$25,000OR MORE

				PARI Z
☐ NOT APPLICABLE				
List each business entity in which you, and indicate the category of the numbe category of the amount of the net gain INSTRUCTION GUIDE.	er of shares held or acqu	uired. If some or all	of the stock was sold	d, also indicate the
When reporting information about a deproviding the number under which the	pendent child's activity, child is listed on the Co	ver Sheet.		eporting by
<sup>1</sup> BUSINESS ENTITY	ROPER INDUSTRIES		ME	
2 STOCK HELD OR ACQUIRED BY	☑ FILER	SPOUSE	DEPENDENT CHILI	D
<sup>3</sup> NUMBER OF SHARES	□ LESS THAN 100     □ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
4 IF SOLD NET GAIN NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY SALESFORCE COM INC			ME	
STOCK HELD OR ACQUIRED BY	☑ FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES		☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD ☑ NET GAIN ☐ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
· · · · · · · · · · · · · · · · · · ·				
BUSINESS ENTITY	SEADRILL LTD	NA	ME	
BUSINESS ENTITY  STOCK HELD OR ACQUIRED BY	SEADRILL LTD	NA SPOUSE	ME DEPENDENT CHIL	D
			DEPENDENT CHIL	D 1,000 TO 4,999
STOCK HELD OR ACQUIRED BY	☐ ☐ FILER ☐ ☐ LESS THAN 100	☐ SPOUSE ☐ 100 TO 499	DEPENDENT CHIL	
STOCK HELD OR ACQUIRED BY  NUMBER OF SHARES  IF SOLD NET GAIN	<ul><li>☒ FILER</li><li>☒ LESS THAN 100</li><li>☐ 5,000 TO 9,999</li></ul>	☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	DEPENDENT CHIL 500 TO 999	1,000 TO 4,999
STOCK HELD OR ACQUIRED BY  NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS	<ul> <li>☒ FILER</li> <li>☒ LESS THAN 100</li> <li>☐ 5,000 TO 9,999</li> <li>☒ LESS THAN \$5,000</li> </ul>	☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 : ☐ \$10,000 - \$24,999	1,000 TO 4,999  \$25,000OR MORE
STOCK HELD OR ACQUIRED BY  NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ SLM CORP	☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999   ME  DEPENDENT CHIL  500 TO 999	1,000 TO 4,999  \$25,000OR MORE
STOCK HELD OR ACQUIRED BY  NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY  STOCK HELD OR ACQUIRED BY	<ul> <li>X FILER</li> <li>X LESS THAN 100</li> <li>☐ 5,000 TO 9,999</li> <li>X LESS THAN \$5,000</li> <li>SLM CORP</li> <li>X FILER</li> <li>☐ LESS THAN 100</li> </ul>	SPOUSE  100 TO 499  10,000 OR MORE  \$5,000 - \$9,999  NA  SPOUSE  100 TO 499	DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999   ME  DEPENDENT CHIL  500 TO 999	1,000 TO 4,999  \$25,000OR MORE
STOCK HELD OR ACQUIRED BY  NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY  STOCK HELD OR ACQUIRED BY  NUMBER OF SHARES  IF SOLD NET GAIN		□ SPOUSE □ 100 TO 499 □ 10,000 OR MORE □ \$5,000 - \$9,999  NA □ SPOUSE □ 10,000 OR MORE □ \$5,000 - \$9,999 □ 10,000 OR MORE	DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999   ME  DEPENDENT CHIL  500 TO 999	1,000 TO 4,999  \$25,000OR MORE  D  1,000 TO 4,999
STOCK HELD OR ACQUIRED BY  NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY  STOCK HELD OR ACQUIRED BY  NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS	<ul> <li>☒ FILER</li> <li>☒ LESS THAN 100</li> <li>☐ 5,000 TO 9,999</li> <li>☒ LESS THAN \$5,000</li> <li>☒ FILER</li> <li>☐ LESS THAN 100</li> <li>☐ 5,000 TO 9,999</li> <li>☒ LESS THAN \$5,000</li> </ul>	□ SPOUSE □ 100 TO 499 □ 10,000 OR MORE □ \$5,000 - \$9,999  NA □ SPOUSE □ 10,000 OR MORE □ \$5,000 - \$9,999 □ 10,000 OR MORE	DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999  DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999	1,000 TO 4,999  \$25,000OR MORE  1,000 TO 4,999  \$25,000OR MORE
STOCK HELD OR ACQUIRED BY  NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY  STOCK HELD OR ACQUIRED BY  NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY	<ul> <li>X FILER</li> <li>X LESS THAN 100</li> <li>☐ 5,000 TO 9,999</li> <li>X LESS THAN \$5,000</li> <li>SLM CORP</li> <li>X FILER</li> <li>☐ LESS THAN 100</li> <li>☐ 5,000 TO 9,999</li> <li>X LESS THAN \$5,000</li> <li>SPDR GOLD TRUST</li> </ul>	□ SPOUSE □ 100 TO 499 □ 10,000 OR MORE □ \$5,000 - \$9,999  NA □ SPOUSE □ 10,000 OR MORE □ \$5,000 - \$9,999	DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999   ME  DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999  MME  DEPENDENT CHIL  500 TO 999	1,000 TO 4,999  \$25,000OR MORE  1,000 TO 4,999  \$25,000OR MORE
STOCK HELD OR ACQUIRED BY  NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY  STOCK HELD OR ACQUIRED BY  NUMBER OF SHARES  IF SOLD NET GAIN NET LOSS  BUSINESS ENTITY  STOCK HELD OR ACQUIRED BY	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ SLM CORP ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ SPDR GOLD TRUST ☐ FILER ☐ LESS THAN 100	□ SPOUSE □ 100 TO 499 □ 10,000 OR MORE □ \$5,000 - \$9,999  NA □ SPOUSE □ 10,000 OR MORE □ \$5,000 - \$9,999  NA □ SPOUSE □ \$5,000 - \$9,999	DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999   ME  DEPENDENT CHIL  500 TO 999  \$10,000 - \$24,999  MME  DEPENDENT CHIL  500 TO 999	1,000 TO 4,999  \$25,000OR MORE  1,000 TO 4,999  \$25,000OR MORE  1,000 TO 4,999

					PART 2
□ NOT APPLICABL	-E				
and indicate the category	ory of the numbe It of the net gain	your spouse, or a depe or of shares held or acquor loss realized from the	uired. If some or all	of the stock was sold	d, also indicate the
When reporting inform providing the number of	ation about a de under which the o	pendent child's activity, child is listed on the Co	ver Sheet.		eporting by
<sup>1</sup> BUSINESS ENTITY		SPDR S P DIVID ETF	NA	ME	
2 STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
<sup>3</sup> NUMBER OF SHAR	RES	LESS THAN 100	<ul><li>X 100 TO 499</li><li> 10,000 OR MORE</li></ul>	☐ 500 TO 999	☐ 1,000 TO 4,999
<sup>4</sup> IF SOLD	X NET GAIN ☐ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	,	SPDR S&P 500 ETF T		ME	
STOCK HELD OR ACQUIRED BY		X FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHAR	RES	X LESS THAN 100	☐ 100 TO 499	☐ 500 TO 999	☐ 1,000 TO 4,999
		☐ 5,000 TO 9,999	☐ 10,000 OR MORE		
IF SOLD	X NET GAIN ☐ NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		TARGET CORP COM	NA	ME	
STOCK HELD OR A	COLUBED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
	COURED BT	M FILER	☐ 3F003L		
NUMBER OF SHAR		LESS THAN 100	<ul><li>☑ 3F003E</li><li>☑ 100 TO 499</li><li>☑ 10,000 OR MORE</li></ul>	☐ 500 TO 999	1,000 TO 4,999
		LESS THAN 100	▼ 100 TO 499	☐ 500 TO 999	
NUMBER OF SHAR	RES  NET GAIN NET LOSS	LESS THAN 100	<ul><li>X 100 TO 499</li><li> 10,000 OR MORE</li><li> \$5,000 - \$9,999</li></ul>	□ 500 TO 999	1,000 TO 4,999
NUMBER OF SHAR	RES  NET GAIN NET LOSS	LESS THAN 100 5,000 TO 9,999  LESS THAN \$5,000	<ul><li>X 100 TO 499</li><li> 10,000 OR MORE</li><li> \$5,000 - \$9,999</li></ul>	☐ 500 TO 999 ☐ \$10,000 - \$24,999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
IF SOLD  BUSINESS ENTITY	NET GAIN NET LOSS ACQUIRED BY	LESS THAN 100 5,000 TO 9,999  LESS THAN \$5,000  TEXAS INSTRUMENT	∑ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999  NA	500 TO 999  \$10,000 - \$24,999  ME  DEPENDENT CHIL  \$500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
IF SOLD  BUSINESS ENTITY  STOCK HELD OR A	NET GAIN NET LOSS ACQUIRED BY	LESS THAN 100 5,000 TO 9,999  LESS THAN \$5,000  TEXAS INSTRUMENT  FILER  LESS THAN 100	100 TO 499	500 TO 999  \$10,000 - \$24,999  ME  DEPENDENT CHIL  \$500 TO 999	1,000 TO 4,999  \$25,000OR MORE
IF SOLD  BUSINESS ENTITY  STOCK HELD OR A	NET GAIN NET LOSS  ACQUIRED BY RES NET GAIN NET LOSS	LESS THAN 100 5,000 TO 9,999  LESS THAN \$5,000  TEXAS INSTRUMENT  FILER LESS THAN 100 5,000 TO 9,999	100 TO 499	500 TO 999  \$10,000 - \$24,999  ME  DEPENDENT CHIL  \$500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ 1,000 TO 4,999
IF SOLD  BUSINESS ENTITY  STOCK HELD OR A  NUMBER OF SHAR	RES  NET GAIN NET LOSS  ACQUIRED BY RES  NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999  ☐ LESS THAN \$5,000  TEXAS INSTRUMENT ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000	100 TO 499	500 TO 999  \$10,000 - \$24,999  ME  DEPENDENT CHIL  \$500 TO 999  \$10,000 - \$24,999	☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  ☐ 1,000 TO 4,999  ☐ \$25,000OR MORE
IF SOLD  BUSINESS ENTITY  STOCK HELD OR A NUMBER OF SHAR	RES  NET GAIN NET LOSS  ACQUIRED BY RES  NET GAIN NET LOSS	LESS THAN 100 5,000 TO 9,999  LESS THAN \$5,000  TEXAS INSTRUMENT  FILER LESS THAN 100 5,000 TO 9,999  LESS THAN \$5,000  TRANSDIGM GROUP	100 TO 499	500 TO 999	☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  ☐ 1,000 TO 4,999  ☐ \$25,000OR MORE
IF SOLD  BUSINESS ENTITY  STOCK HELD OR A  NUMBER OF SHAR  IF SOLD  BUSINESS ENTITY  STOCK HELD OR A	RES  NET GAIN NET LOSS  ACQUIRED BY RES  NET GAIN NET LOSS	LESS THAN 100 5,000 TO 9,999  LESS THAN \$5,000  TEXAS INSTRUMENT  FILER LESS THAN 100 5,000 TO 9,999  LESS THAN \$5,000  TRANSDIGM GROUP  FILER  LESS THAN 100	100 TO 499	500 TO 999	☐ 1,000 TO 4,999  ☐ \$25,000OR MORE  ☐ 1,000 TO 4,999  ☐ \$25,000OR MORE

STOCK					PART Z
☐ NOT APPLICABLE					
List each business entity in when and indicate the category of the category of the INSTRUCTION GUIDE.	he numbe	er of shares held or acq	uired. If some or all	of the stock was sold	d, also indicate the
When reporting information al providing the number under w	bout a de hich the	pendent child's activity, child is listed on the Co	indicate the child al ver Sheet.	bout whom you are re	eporting by
<sup>1</sup> BUSINESS ENTITY	•	TW TELECOM INC		ME	
2 STOCK HELD OR ACQUIF	RED BY		SPOUSE	DEPENDENT CHIL	.D
<sup>3</sup> NUMBER OF SHARES		LESS THAN 100	<ul><li>X 100 TO 499</li><li> 10,000 OR MORE</li></ul>	☐ 500 TO 999	1,000 TO 4,999
<sup>4</sup> IF SOLD ⊠ NE <sup>-</sup>	T GAIN T LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY -		TWITTER INC	NA	ME	
STOCK HELD OR ACQUIRED BY		X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES		LESS THAN 100	☐ 100 TO 499 ☐ 10,000 OR MORE	X 500 TO 999	☐ 1,000 TO 4,999
IF SOLD ⊠ NE	T GAIN T LOSS	LESS THAN \$5,000	☒ \$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		ULTRA SALON COSM		ME	
STOCK HELD OR ACQUIF	RED BY		SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES			☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD ☑ NE	T GAIN T LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	1 BRWW	UNITED STS STL CO		ME	
STOCK HELD OR ACQUIF	RED BY	☑ FILER	SPOUSE	DEPENDENT CHIL	.D
NUMBER OF SHARES		LESS THAN 100	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	X 1,000 TO 4,999
11 3010	T GAIN T LOSS	LESS THAN \$5,000	∑ \$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		UNITED TECHS COR		ME	
STOCK HELD OR ACQUIF	RED BY	X FILER	SPOUSE	DEPENDENT CHIL	.D
NUMBER OF SHARES		LESS THAN 100	<ul><li>X 100 TO 499</li><li>☐ 10,000 OR MORE</li></ul>	☐ 500 TO 999	☐ 1,000 TO 4,999
_ " 00-5	T GAIN T LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
	COPY A	ND ATTACH ADDITION	ONAL PAGES AS	NECESSARY	

Texas Ethics Commission

STOCK				PARI Z
☐ NOT APPLICABLE				
List each business entity in which you, and indicate the category of the numbe category of the amount of the net gain of INSTRUCTION GUIDE.	r of shares held or acqu	uired. If some or all	of the stock was sold	I, also indicate the
When reporting information about a deproviding the number under which the control of the control			oout whom you are re	porting by
<sup>1</sup> BUSINESS ENTITY	VALERO ENERGY CO		ME	
2 STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
<sup>3</sup> NUMBER OF SHARES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	<ul><li>■ 100 TO 499</li><li>■ 10,000 OR MORE</li></ul>	☐ 500 TO 999	☐ 1,000 TO 4,999
4 IF SOLD NET GAIN NET LOSS	LESS THAN \$5,000	☒ \$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	VANGUARD DIVIDEN		ME TF	
STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES	LESS THAN 100	X 100 TO 499	☐ 500 TO 999	☐ 1,000 TO 4,999
	☐ 5,000 TO 9,999	☐ 10,000 OR MORE		
IF SOLD ⊠ NET GAIN ☐ NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	VANGUARD HIGH DV		ME	
STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHARES		☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD   ☑ NET GAIN ☐ NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	VANGUARD INFORM		ME	
STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHARES		☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD   ☑ NET GAIN ☐ NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	VANGUARD MEGA C		ME	
STOCK HELD OR ACQUIRED BY	☑ FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES	<ul><li>X LESS THAN 100</li><li>☐ 5,000 TO 9,999</li></ul>	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD   ☑ NET GAIN ☐ NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE

STOCK				PART 2
☐ NOT APPLICABLE				
List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFSINSTRUCTION GUIDE.				
When reporting information about a de providing the number under which the			bout whom you are re	eporting by
<sup>1</sup> BUSINESS ENTITY	VIVUS INC DEL PV40		ME	
<sup>2</sup> STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
<sup>3</sup> NUMBER OF SHAR <b>E</b> S	LESS THAN 100	<ul><li>■ 100 TO 499</li><li>■ 10,000 OR MORE</li></ul>	☐ 500 TO 999	☐ 1,000 TO 4,999
4 IF SOLD NET GAIN NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	WAL-MART STORES		ME	
STOCK HELD OR ACQUIRED BY		SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES	LESS THAN 100	<ul><li>X 100 TO 499</li><li> 10,000 OR MORE</li></ul>	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD ⊠ NET GAIN ☐ NET LOSS	☐ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	WELLS FARGO & CO		ME	
STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES	LESS THAN 100	<ul><li>■ 100 TO 499</li><li>■ 10,000 OR MORE</li></ul>	☐ 500 TO 999	1,000 TO 4,999
IF SOLD ⊠ NET GAIN ☐ NET LOSS	☐ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	WEYERHAEUSER CO		ME	
STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	<ul><li>■ 100 TO 499</li><li>■ 10,000 OR MORE</li></ul>	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD  ☐ NET GAIN ☐ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	WHIRLPOOL CORP	NA	ME	
STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD ⊠ NET GAIN ☐ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
CORYA	ND ATTACH ADDITION	ONAL PAGES AS	NECESSARY	

STOCK				PART 2
☐ NOT APPLICABLE				
List each business entity in which you, and indicate the category of the number category of the amount of the net gain INSTRUCTION GUIDE.	er of shares held or acq	uired. If some or all	of the stock was sold	d, also indicate the
When reporting information about a de providing the number under which the			bout whom you are re	eporting by
<sup>1</sup> BUSINESS ENTITY	WINDSTREAM CORP	NA	ME	
<sup>2</sup> STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
<sup>3</sup> NUMBER OF SHARES	LESS THAN 100	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	X 1,000 TO 4,999
4 IF SOLD NET GAIN NET LOSS	LESS THAN \$5,000	<b>\S</b> \$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	WISDOMTREE TRUS		ME	
STOCK HELD OR ACQUIRED BY	☑ FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHARES	X LESS THAN 100  □ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD ☑ NET GAIN ☐ NET LOSS	☐ LESS THAN \$5,000	<b>\$5,000 - \$9,999</b>	<b>\$10,000 - \$24,999</b>	\$25,000OR MORE
BUSINESS ENTITY	WYNDHAM WORLDW		ME	
STOCK HELD OR ACQUIRED BY	☑ FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES	∑ LESS THAN 100     ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	□ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD ☐ NET GAIN ☐ NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	FEDEX CORP DELAW		ME .	
STOCK HELD OR ACQUIRED BY		SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHARES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD NET GAIN NET LOSS	X LESS THAN \$5,000	<b>\$5,000 - \$9,999</b>	<b>\$10,000 - \$24,999</b>	\$25,000OR MORE
BUSINESS ENTITY	FIRST TR FINANCIAL		ME	
STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHARES	<ul><li>X LESS THAN 100</li><li>☐ 5,000 TO 9,999</li></ul>	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD NET GAIN NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	<b>\$10,000 - \$24,999</b>	\$25,000OR MORE
COPY A	ND ATTACH ADDITION	ONAL PAGES AS	NECESSARY	

STOCK				PART 2
☐ NOT APPLICABLE				
List each business entity in which you, and indicate the category of the numbe category of the amount of the net gain a INSTRUCTION GUIDE.	r of shares held or acq	uired. If some or all	of the stock was sold	I, also indicate the
When reporting information about a deproviding the number under which the			oout whom you are re	eporting by
<sup>1</sup> BUSINESS ENTITY	FIRST TR ISE GLOBA		ME	
2 STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
<sup>3</sup> NUMBER OF SHARES	LESS THAN 100	<ul><li>X 100 TO 499</li><li> 10,000 OR MORE</li></ul>	☐ 500 TO 999	☐ 1,000 TO 4,999
4 IF SOLD ☐ NET GAIN ☐ NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	PEGASUS BANK	NA	ME	
STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES	LESS THAN 100 5,000 TO 9,999	☐ 100 TO 499 ☒ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD NET GAIN NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	AMR CORP	NA	ME	
STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES	LESS THAN 100	☐ 100 TO 499 ☑ 10,000 OR MORE	☐ 500 TO 999	1,000 TO 4,999
IF SOLD ⊠ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	<b>\$5,000</b> - <b>\$9,999</b>	\$10,000 - \$24,999	X \$25,000OR MORE
BUSINESS ENTITY	BANK OF AMERICA	NA	ME	
STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHARES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☒ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IE SOLD X NET GAIN		——————————————————————————————————————	D \$40,000 \$34,000	X \$25,000OR MORE
IF SOLD X NET GAIN NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	A \$25,000OR MORE

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

■ NET LOSS

## PART 3 **BONDS, NOTES & OTHER COMMERCIAL PAPER** □ NOT APPLICABLE List all bonds, notes and other commercial paper held or acquired by you, your spouse, or a dependent child during the calendar year. If sold, indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet. DESCRIPTION GOLDEN ST TOB SCRTZN CRP OF INSTRUMENT <sup>2</sup> HELD OR ACQUIRED BY X FILER ☐ SPOUSE DEPENDENT CHILD \_\_\_\_ 3 IF SOLD LESS THAN \$5,000 | \$5,000 - \$9,999 | \$10,000 - \$24,999 | \$25,000--OR MORE ■ NET GAIN ☐ NET LOSS **DESCRIPTION** HANFORD CALIF JT UN HSD OF INSTRUMENT HELD OR ACQUIRED BY X FILER ☐ SPOUSE □ DEPENDENT CHILD \_\_\_\_\_ IF SOLD ☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☐ \$25,000--OR MORE □ NET GAIN ☐ NET LOSS LOS ANGELES CALIF DEPT DESCRIPTION OF INSTRUMENT HELD OR ACQUIRED BY DEPENDENT CHILD \_\_\_\_\_ X FILER ☐ SPOUSE IF SOLD ☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☐ \$25,000--OR MORE □ NET GAIN ☐ NET LOSS COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

BONDS, NOTES &	OTHER COMMER	CIAL PAPE	R PART 3	
	the category of the amount of		pouse, or a dependent child during the realized from the sale. For more	
When reporting information about providing the number under wh			bout whom you are reporting by	
1 DESCRIPTION OF INSTRUMENT	MENLO PK CALIF CITY SC	Н		
<sup>2</sup> HELD OR ACQUIRED BY				
	X FILER	SPOUSE	DEPENDENT CHILD	
3 IF SOLD				
☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999 \$25,000OR MORE	
DESCRIPTION OF INSTRUMENT	MIAMI-DADE CNTY FLA			
HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHILD	
IF SOLD  NET GAIN NET LOSS	☐ LESS THAN \$5,000	<b>55,000 - \$9,999</b>	\$10,000 - \$24,999 \$25,000OR MORE	
	OPY AND ATTACH ADDITION	ONAL DA 050 40	NECECCARY	

#### PART 4 MUTUAL FUNDS ☐ NOT APPLICABLE List each mutual fund and the number of shares in that mutual fund that you, your spouse, or a dependent child held or acquired during the calendar year and indicate the category of the number of shares of mutual funds held or acquired. If some or all of the shares of a mutual fund were sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet. NAME <sup>1</sup> MUTUAL FUND BLACKROCK GLOBAL <sup>2</sup> SHARES OF MUTUAL FUND X FILER SPOUSE DEPENDENT CHILD \_\_\_\_\_ HELD OR ACQUIRED BY 3 NUMBER OF SHARES LESS THAN 100 X 100 TO 499 ☐ 500 TO 999 1,000 TO 4,999 OF MUTUAL FUND 5,000 TO 9,999 ☐ 10,000 OR MORE 4 IF SOLD ■ NET GAIN ☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 \$10,000 - \$24,999 \$25,000--OR MORE ☐ NET LOSS NAME **MUTUAL FUND BLACKROCK RES & COMMODIT** SHARES OF MUTUAL FUND X FILER ☐ SPOUSE DEPENDENT CHILD \_\_\_\_\_ HELD OR ACQUIRED BY NUMBER OF SHARES LESS THAN 100 100 TO 499 500 TO 999 X 1,000 TO 4,999 OF MUTUAL FUND 5,000 TO 9,999 ☐ 10,000 OR MORE IF SOLD ■ NET GAIN LESS THAN \$5,000 \$5,000 - \$9,999 \$10,000 - \$24,999 \$25,000--OR MORE ■ NET LOSS NAME **MUTUAL FUND COHEN & STEERS MLP INCOM** SHARES OF MUTUAL FUND X FILER ☐ SPOUSE DEPENDENT CHILD \_\_\_\_ HELD OR ACQUIRED BY NUMBER OF SHARES LESS THAN 100 X 100 TO 499 ☐ 500 TO 999 1,000 TO 4,999 OF MUTUAL FUND 5,000 TO 9,999 10,000 OR MORE IF SOLD ☐ NET GAIN LESS THAN \$5,000 \$5,000 - \$9,999 \$10,000 - \$24,999 \$25,000--OR MORE ☐ NET LOSS COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

MUTUAL FUNDS				PARI 4				
☐ NOT APPLICABLE		I.E. and the at a second and						
List each mutual fund and the number of shares in that mutual fund that you, your spouse, or a dependent child held or acquired during the calendar year and indicate the category of the number of shares of mutual funds held or acquired. If some or all of the shares of a mutual fund were sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFSINSTRUCTION GUIDE  When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.								
<sup>1</sup> MUTUAL FUND	COLUMBIA EUROPEAN	NAI EQUITY	ИE					
<sup>2</sup> SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D				
<sup>3</sup> NUMBER OF SHARES OF MUTUAL FUND	☐ LESS THAN 100	<ul><li>X 100 TO 499</li><li>☐ 10,000 OR MORE</li></ul>	☐ 500 TO 999	1,000 TO 4,999				
4 IF SOLD NET GAIN NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE				
MUTUAL FUND	COLUMBIA SELECT LAR	NAI RGE	ME					
	COLOMBIN CELLOT EN							
SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D				
NUMBER OF SHARES OF MUTUAL FUND	☐ LESS THAN 100		☐ 500 TO 999	1,000 TO 4,999				
IF SOLD ☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE				
MUTUAL FUND	COLUMBIA SELIGMAN I	NAI PREM	ME					
SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D				
NUMBER OF SHARES OF MUTUAL FUND	LESS THAN 100	<ul><li>X 100 TO 499</li><li>☐ 10,000 OR MORE</li></ul>	□ 500 TO 999	☐ 1,000 TO 4,999				
IF SOLD NET GAIN NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	☐ \$25,000OR MORE				
СОРУ	AND ATTACH ADDITION	ONAL PAGES AS	NECESSARY	COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY				

IF SOLD

□ NET GAIN

☐ NET LOSS

		B.O. B	40070	Austin Tayon 79	2744 2070	(512)463-	5800 1-800-325-850
Texas Ethics Com	L FUNDS	P.O. Box	12070	Austin, Texas 78	3711-2070	(312)403-	PART 4
	PPLICABLE						
acquired duri some or all o from the sale When reporti	ing the calend f the shares o . For more in ng informatior	ar year a f a mutua formatior n about a	nd indicat al fund we n, see FOF depender	e the category o re sold, also indi RM PFSINSTR	f the number of shar cate the category of UCTION GUIDE indicate the child al ver Sheet.	bout whom you are re	eld or acquired. If of gain or loss realized
<sup>1</sup> MUTUAL F	UND		EATON	VANCE TAX DIV	INC NAM	VIE	
<sup>2</sup> SHARES C HELD OR A	F MUTUAL F ACQUIRED E		⊠ FII	LER	SPOUSE	DEPENDENT CHIL	D
3 NUMBER O OF MUTUA				SS THAN 100 000 TO 9,999	<ul><li>X 100 TO 499</li><li> 10,000 OR MORE</li></ul>	☐ 500 TO 999	☐ 1,000 TO 4,999
4 IF SOLD	☐ NET GAI		☐ LE	SS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
MUTUAL F			FRANKI	IN RISING	NAI	ME	
SHARES C		-UND	FRANKI		NAI	ME  DEPENDENT CHIL	D
SHARES O	OF MUTUAL I	-UND	⊠ FI			DEPENDENT CHIL	D X 1,000 TO 4,999
SHARES O HELD OR A	OF MUTUAL I	FUND BY	∑ FI □ LE	LER ESS THAN 100	☐ SPOUSE ☐ 100 TO 499	DEPENDENT CHIL	
SHARES O HELD OR A NUMBER O OF MUTUA	OF MUTUAL FACQUIRED E	FUND BY		LER ESS THAN 100 000 TO 9,999	☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999	X 1,000 TO 4,999
SHARES CON HELD OR A SHARES CON SHARES CON HELD OR A SHARES CON HELD OR	OF MUTUAL FACQUIRED E	FUND BY		LER ESS THAN 100 000 TO 9,999 ESS THAN \$5,000 ENCE & TECH F	☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999	☐ \$25,000OR MORE

☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☐ \$25,000--OR MORE

#### PART 4 MUTUAL FUNDS ■ NOT APPLICABLE List each mutual fund and the number of shares in that mutual fund that you, your spouse, or a dependent child held or acquired during the calendar year and indicate the category of the number of shares of mutual funds held or acquired. If some or all of the shares of a mutual fund were sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet. NAME <sup>1</sup> MUTUAL FUND JAPAN EQUITY FUND INC <sup>2</sup> SHARES OF MUTUAL FUND HELD OR ACQUIRED BY X FILER ☐ SPOUSE □ DEPENDENT CHILD \_\_\_ 3 NUMBER OF SHARES X 100 TO 499 ☐ 500 TO 999 1,000 TO 4,999 LESS THAN 100 OF MUTUAL FUND 5,000 TO 9,999 ☐ 10,000 OR MORE 4 IF SOLD ■ NET GAIN LESS THAN \$5,000 \$5,000 - \$9,999 \$10,000 - \$24,999 \$25,000--OR MORE ☐ NET LOSS NAME MUTUAL FUND NUVEEN BUILD AMER BD FD SHARES OF MUTUAL FUND HELD OR ACQUIRED BY X FILER SPOUSE □ DEPENDENT CHILD \_\_\_\_\_ NUMBER OF SHARES 500 TO 999 1,000 TO 4,999 LESS THAN 100 X 100 TO 499 OF MUTUAL FUND ☐ 10,000 OR MORE 5,000 TO 9,999 IF SOLD ■ NET GAIN \$10,000 - \$24,999 \$25,000--OR MORE LESS THAN \$5,000 \$5,000 - \$9,999 ☐ NET LOSS NAME **MUTUAL FUND** NUVEEN MORTGAGE OPPORTUNITY SHARES OF MUTUAL FUND ☐ SPOUSE □ DEPENDENT CHILD \_\_\_\_\_ HELD OR ACQUIRED BY X FILER NUMBER OF SHARES LESS THAN 100 X 100 TO 499 500 TO 999 ☐ 1,000 TO 4,999 OF MUTUAL FUND 5,000 TO 9,999 ☐ 10.000 OR MORE IF SOLD □ NET GAIN ☐ \$10,000 - \$24,999 ☐ \$25,000--OR MORE ☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ NET LOSS COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

#### PART 4 **MUTUAL FUNDS** ■ NOT APPLICABLE List each mutual fund and the number of shares in that mutual fund that you, your spouse, or a dependent child held or acquired during the calendar year and indicate the category of the number of shares of mutual funds held or acquired. If some or all of the shares of a mutual fund were sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet. NAME <sup>1</sup> MUTUAL FUND NUVEEN SANTA BARBARA DIV GRW FD CL I 2 SHARES OF MUTUAL FUND X FILER ☐ SPOUSE DEPENDENT CHILD \_\_\_\_\_ HELD OR ACQUIRED BY 3 NUMBER OF SHARES ☐ 100 TO 499 ☐ 500 TO 999 X 1,000 TO 4,999 LESS THAN 100 OF MUTUAL FUND 5,000 TO 9,999 ☐ 10,000 OR MORE 4 IF SOLD ■ NET GAIN \$10,000 - \$24,999 \$25,000--OR MORE ☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ NET LOSS NAME MUTUAL FUND OPPENHEIMER DEVELOPING MARKETS FD CL Y SHARES OF MUTUAL FUND ☐ SPOUSE HELD OR ACQUIRED BY X FILER DEPENDENT CHILD \_\_\_\_\_ NUMBER OF SHARES LESS THAN 100 X 100 TO 499 ☐ 500 TO 999 1,000 TO 4,999 OF MUTUAL FUND 10,000 OR MORE 5,000 TO 9,999 IF SOLD ■ NET GAIN ☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☐ \$25,000--OR MORE ☐ NET LOSS NAME **MUTUAL FUND** OPPENHEIMER INTERNATL GROWTH FD CL Y SHARES OF MUTUAL FUND X FILER ☐ SPOUSE ■ DEPENDENT CHILD \_\_\_\_\_ HELD OR ACQUIRED BY NUMBER OF SHARES X LESS THAN 100 ☐ 100 TO 499 ☐ 500 TO 999 1,000 TO 4,999 OF MUTUAL FUND ☐ 5.000 TO 9.999 10,000 OR MORE IF SOLD ■ NET GAIN □ \$10,000 - \$24,999 □ \$25,000--OR MORE LESS THAN \$5,000 \$5,000 - \$9,999 ☐ NET LOSS COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

exas Ethics Commission P.O. Box	12070 Austin, Texas 78	711-2070	(512)403-5	1-000-323-0300
MUTUAL FUNDS PART 4				
☐ NOT APPLICABLE				
List each mutual fund and the number of shares in that mutual fund that you, your spouse, or a dependent child held or acquired during the calendar year and indicate the category of the number of shares of mutual funds held or acquired. If some or all of the shares of a mutual fund were sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFSINSTRUCTION GUIDE  When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.				
<sup>1</sup> MUTUAL FUND	VIRTUS FOREIGN	NAN	ΛΕ	
<sup>2</sup> SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHILI	D
3 NUMBER OF SHARES OF MUTUAL FUND	LESS THAN 100	<ul><li>X 100 TO 499</li><li>☐ 10,000 OR MORE</li></ul>	☐ 500 TO 999	☐ 1,000 TO 4,999
4 IF SOLD NET GAIN NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
MUTUAL FUND	WESTERN ASSET HIGH	NAP I YIELD	мЕ	
SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES OF MUTUAL FUND	LESS THAN 100		□ 500 TO 999 E	☐ 1,000 TO 4,999
IF SOLD NET GAIN NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
MUTUAL FUND	BLACKROCK BUILD AN	NA MER BD	ME	
SHARES OF MUTUAL FUND HELD OR ACQUIRED BY		SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES OF MUTUAL FUND	LESS THAN 100	☐ 100 TO 499 ☐ 10,000 OR MORE	<b>⊠</b> 500 TO 999	☐ 1,000 TO 4,999
IF SOLD ☐ NET GAIN ☑ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	☐ \$25,000OR MORE
СОР	Y AND ATTACH ADDITI	ONAL PAGES AS	NECESSARY	

Texas Ethics Commission

MUTUAL FUNDS				PART 4
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List each mutual fund and the numb acquired during the calendar year at some or all of the shares of a mutua from the sale. For more information When reporting information about a providing the number under which the	nd indicate the category of I fund were sold, also indic , see FORM PFSINSTRI dependent child's activity,	the number of shar cate the category of UCTION GUIDE indicate the child a	res of mutual funds he the amount of the ne	eld or acquired. If et gain or loss realized
<sup>1</sup> MUTUAL FUND	BLACKROCK GLOBAL	NA	ME	
<sup>2</sup> SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
3 NUMBER OF SHARES OF MUTUAL FUND	X LESS THAN 100  ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
4 IF SOLD    X NET GAIN   NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
MUTUAL FUND		NA	ME	
MOTORET OND	FRANKLIN RISING			
SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	.D
NUMBER OF SHARES OF MUTUAL FUND	LESS THAN 100	X 100 TO 499  ☐ 10,000 OR MORE	☐ 500 TO 999 E	☐ 1,000 TO 4,999
IF SOLD	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000~OR MORE
MUTUAL FUND	IVY SCIENCE & TECH F		ME	
SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	LD
NUMBER OF SHARES OF MUTUAL FUND	X LESS THAN 100  ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MOR	☐ 500 TO 999 E	☐ 1,000 TO 4,999
IF SOLD  ☑ NET GAIN ☐ NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	<b>\$10,000</b> - \$24,999	☐ \$25,000OR MORE
COPY	Y AND ATTACH ADDITI	ONAL PAGES AS	NECESSARY	

MUTUAL FUNDS				PART 4
☐ NOT APPLICABLE				
List each mutual fund and the number of shares in that mutual fund that you, your spouse, or a dependent child held or acquired during the calendar year and indicate the category of the number of shares of mutual funds held or acquired. If some or all of the shares of a mutual fund were sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFSINSTRUCTION GUIDE  When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.				
<sup>1</sup> MUTUAL FUND	NUVEEN MORTGAGE O	NAF PPORTUNITY	ME	
<sup>2</sup> SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
<sup>3</sup> NUMBER OF SHARES OF MUTUAL FUND	X LESS THAN 100  ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	500 TO 999	☐ 1,000 TO 4,999
4 IF SOLD  NET GAIN  NET LOSS	☒ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
MUTUAL FUND	NUVEEN SANTA BARBA	NAI ARA DIV GRW FD CL		
SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES OF MUTUAL FUND	LESS THAN 100		☐ 500 TO 999	1,000 TO 4,999
IF SOLD  ☑ NET GAIN ☐ NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
MUTUAL FUND	OPPENHMR DEV MRKT		ME	
SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	.D
NUMBER OF SHARES OF MUTUAL FUND	X LESS THAN 100  ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	□ 500 TO 999 Ξ	☐ 1,000 TO 4,999
IF SOLD  ☑ NET GAIN ☐ NET LOSS	⊠ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	☐ \$25,000OR MORE
COP	Y AND ATTACH ADDITI	ONAL PAGES AS	NECESSARY	

MUTUAL FUNDS				PART 4
☐ NOT APPLICABLE				
List each mutual fund and the number acquired during the calendar year a some or all of the shares of a mutual from the sale. For more information. When reporting information about a providing the number under which the	nd indicate the category of al fund were sold, also indi a, see FORM PFSINSTR dependent child's activity,	f the number of shar cate the category of UCTION GUIDE indicate the child al	es of mutual funds he the amount of the ne	eld or acquired. If It gain or loss realized
<sup>1</sup> MUTUAL FUND	SUNAMER FOC DIV STF	NAP R CL W	ΛΕ	
<sup>2</sup> SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	⊠ FILER	SPOUSE	DEPENDENT CHIL	D
<sup>3</sup> NUMBER OF SHARES OF MUTUAL FUND	☐ LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	X 500 TO 999	☐ 1,000 TO 4,999
4 IF SOLD   X  NET GAIN   NET LOSS	⊠ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
MUTUAL FUND	TOUCHSTONE SANDS	NAI CAPITAL GROWTH		
SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	.D
NUMBER OF SHARES OF MUTUAL FUND	☐ LESS THAN 100 ☐ 5,000 TO 9,999	X 100 TO 499  ☐ 10,000 OR MORE	☐ 500 TO 999	1,000 TO 4,999
IF SOLD  ☑ NET GAIN ☐ NET LOSS		\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
COP	Y AND ATTACH ADDITI	ONAL PAGES AS	NECESSARY	

Texas Ethics Commission

INCOME FROM INT	EREST, DIVIDEN	NDS, ROYAL	TIES & RENTS PART 5
☐ NOT APPLICABLE			
List each source of income you, interest, dividends, royalties and more information, see FORM PF	rents during the calendar y	ear and indicate the c	cess of \$500 that was derived from attegory of the amount of the income. For
When reporting information about providing the number under which	ut a dependent child's activi ch the child is listed on the (	ty, indicate the child a Cover Sheet.	bout whom you are reporting by
<sup>1</sup> SOURCE OF INCOME	ALTRIA GROUP INC	NAME AND ADI	DRESS
<sup>2</sup> RECEIVED BY	⊠ FILER	SPOUSE	DEPENDENT CHILD
<sup>3</sup> AMOUNT	፟፟፟፟፟፟፟፟ \$500 - \$4,999	\$5,000 - \$9,999	\$10,000 - \$24,999 \$25,000OR MORE
SOURCE OF INCOME		NAME AND AD	DRESS
	APPLE INC		
RECEIVED BY	X FILER	SPOUSE	DEPENDENT CHILD
AMOUNT	\$500 - \$4,999	\$5,000 - \$9,999	X \$10,000 - \$24,999 ☐ \$25,000OR MORE
SOURCE OF INCOME		NAME AND AD	DRESS
COUNCE OF INCOME	AT&T INC		
RECEIVED BY	X FILER	SPOUSE	DEPENDENT CHILD
AMOUNT	<b>X</b> \$500 - \$4,999	<b>55,000</b> - \$9,999	\$10,000 - \$24,999 \$25,000OR MORE
	ODV AND ATTACLI ADD	ITIONAL PAGES AS	NECESSARV

INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS  PART 5  NOT APPLICABLE					
List each source of income you, interest, dividends, royalties and more information, see FORM PF	rents during the calendar ye	It child received in excear and indicate the c	cess of \$500 that was derived from ategory of the amount of the income. For		
When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.					
1 SOURCE OF INCOME	BLACKROCK BUILD AME	NAME AND ADD	PRESS		
<sup>2</sup> RECEIVED BY	☑ FILER	SPOUSE	DEPENDENT CHILD		
<sup>3</sup> AMOUNT	፟፟፟፟፟፟፟፟፟፟	<b>\$5,000 - \$9,999</b>	\$10,000 - \$24,999 \$25,000OR MORE		
SOURCE OF INCOME	BLACKROCK RES & COM	NAME AND ADI	DRESS		
RECEIVED BY		SPOUSE	DEPENDENT CHILD		
AMOUNT	፟፟፟Ӽ \$500 - \$4,999	\$5,000 - \$9,999	☐ \$10,000 - \$24,999 ☐ \$25,000OR MORE		
SOURCE OF INCOME		NAME AND AD	DRESS		
SOUNCE OF INCOME	CALIFORNIA ST VAR PU	RP			
RECEIVED BY	X FILER	SPOUSE	DEPENDENT CHILD		
AMOUNT	⊠ \$500 - \$4,999	<b>\$5,00</b> 0 - \$9,999	☐ \$10,000 - \$24,999 ☐ \$25,000OR MORE		
C	OPY AND ATTACH ADDI	TIONAL PAGES AS	NECESSARY		

Texas Ethics Commission

Austin, Texas 78711-2070

## **INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS** PART 5 ■ NOT APPLICABLE List each source of income you, your spouse, or a dependent child received in excess of \$500 that was derived from interest, dividends, royalties and rents during the calendar year and indicate the category of the amount of the income. For more information, see FORM PFS--INSTRUCTION GUIDE. When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet. NAME AND ADDRESS <sup>1</sup> SOURCE OF INCOME CATERPILLAR INC <sup>2</sup> RECEIVED BY ☐ SPOUSE DEPENDENT CHILD \_\_\_\_\_ X FILER 3 AMOUNT \$5,000 - \$9,999 \$10,000 - \$24,999 \$25,000--OR MORE X \$500 - \$4,999 NAME AND ADDRESS SOURCE OF INCOME DALLAS TEX INDPT SCH RECEIVED BY X FILER ☐ SPOUSE DEPENDENT CHILD \_\_\_\_\_ **AMOUNT** \$10,000 - \$24,999 \$25,000--OR MORE **\$5,000 - \$9,999 X** \$500 - \$4,999 NAME AND ADDRESS SOURCE OF INCOME **ELI LILLY & CO** RECEIVED BY X FILER ■ SPOUSE ☐ DEPENDENT CHILD \_\_\_\_\_ **AMOUNT** X \$500 - \$4,999 COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

Texas Ethics Commission

P.O. Box 12070 Austin, Texas 78711-2070

## **INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS** PART 5 ■ NOT APPLICABLE List each source of income you, your spouse, or a dependent child received in excess of \$500 that was derived from interest, dividends, royalties and rents during the calendar year and indicate the category of the amount of the income. For more information, see FORM PFS--INSTRUCTION GUIDE. When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet. NAME AND ADDRESS <sup>1</sup> SOURCE OF INCOME EMERSON ELEC CO <sup>2</sup> RECEIVED BY X FILER ☐ SPOUSE DEPENDENT CHILD \_\_\_\_\_ <sup>3</sup> AMOUNT □ \$5,000 - \$9,999 □ \$10,000 - \$24,999 □ \$25,000--OR MORE ፟ \$500 - \$4,999 NAME AND ADDRESS SOURCE OF INCOME **ENERGY XXI GULF COAS INC SR NOTE** RECEIVED BY SPOUSE DEPENDENT CHILD \_\_\_\_\_ X FILER **AMOUNT** \$5,000 - \$9,999 \$10,000 - \$24,999 \$25,000--OR MORE X \$500 - \$4,999 NAME AND ADDRESS SOURCE OF INCOME FRANKLIN RISING **RECEIVED BY** X FILER ☐ SPOUSE □ DEPENDENT CHILD \_\_\_\_\_ **AMOUNT** X \$500 - \$4,999 COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

Texas Ethics Commission

INCOME FROM INT	EREST, DIVIDEN	IDS, ROYAL	TIES & RENTS PART 5	
NOT APPLICABLE				
List each source of income you, interest, dividends, royalties and more information, see FORM PF	I rents during the calendar y	ear and indicate the c	cess of \$500 that was derived from attegory of the amount of the income. For	
When reporting information about providing the number under which	ut a dependent child's activition the child is listed on the C	ty, indicate the child a Cover Sheet.	bout whom you are reporting by	
<sup>1</sup> SOURCE OF INCOME	GILROY CALIF UNI SCH	NAME AND ADI	DRESS	
<sup>2</sup> RECEIVED BY	☑ FILER	SPOUSE	DEPENDENT CHILD	
<sup>3</sup> AMOUNT	☒ \$500 - \$4,999	\$5,000 - \$9,999	\$10,000 - \$24,999 \$25,000OR MORE	
SOURCE OF INCOME		NAME AND AD	DRESS	
	GOLDEN ST TOB SCRTZ	IN CRP		
RECEIVED BY	⊠ FILER	SPOUSE	DEPENDENT CHILD	
AMOUNT	<b>X</b> \$500 - \$4,999	\$5,000 - \$9,999	\$10,000 - \$24,999 \$25,000OR MORE	
SOURCE OF INCOME	HANFORD CALIF JT UN	NAME AND AD	DRESS	
RECEIVED BY	☑ FILER	SPOUSE	DEPENDENT CHILD	
AMOUNT	<b>X</b> \$500 - \$4,999	<b>\$5,000 - \$9,999</b>	☐ \$10,000 - \$24,999 ☐ \$25,000OR MORE	
COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY				

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INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS  PART 5				
☐ NOT APPLICABLE				
List each source of income you, interest, dividends, royalties and more information, see FORM PF	rents during the calendar y	ear and indicate the c	cess of \$500 that was derived from ategory of the amount of the income. For	
When reporting information about providing the number under which			bout whom you are reporting by	
<sup>1</sup> SOURCE OF INCOME	ISHARES IBOXX\$ HIGH Y	NAME AND ADI	DRESS	
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<sup>3</sup> AMOUNT	፟፟፟፟፟፟፟ \$500 - \$4,999	\$5,000 - \$9,999	\$10,000 - \$24,999 \$25,000OR MORE	
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	LOS ANGELES CALIF DE	PT		
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COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY				

INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS  PART 5					
☐ NOT APPLICABLE					
List each source of income you, interest, dividends, royalties and more information, see FORM PF	rents during the calendar ye	t child received in ex ear and indicate the c	cess of \$500 that was derived from ategory of the amount of the income. For		
When reporting information about providing the number under which	ut a dependent child's activity ch the child is listed on the C	<b>y,</b> indicate the child a over Sheet.	bout whom you are reporting by		
<sup>1</sup> SOURCE OF INCOME	MIAMI-DADE CNTY FLA	NAME AND ADI	DRESS .		
	,	1000 T			
<sup>2</sup> RECEIVED BY	X FILER	SPOUSE	DEPENDENT CHILD		
<sup>3</sup> AMOUNT	☒ \$500 - \$4,999	\$5,000 - \$9,999	\$10,000 - \$24,999 \$25,000OR MORE		
SOURCE OF INCOME		NAME AND AD	DRESS		
SOURCE OF INCOME	NUVEEN MORTGAGE OP	PORTUNITY			
RECEIVED BY	☑ FILER	SPOUSE	DEPENDENT CHILD		
AMOUNT	X \$500 - \$4,999	<b>55,000 - \$9,999</b>	\$10,000 - \$24,999 \$25,000OR MORE		
COURCE OF INCOME		NAME AND AD	DRESS		
SOURCE OF INCOME	NUVEEN SANTA BARBAR	A DIV GRW FD CL I			
RECEIVED BY	X FILER	SPOUSE	DEPENDENT CHILD		
AMOUNT	☒ \$500 - \$4,999	\$5,000 - \$9,999	☐ \$10,000 - \$24,999 ☐ \$25,000OR MORE		
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INCOME FROM INT  ☐ NOT APPLICABLE	EREST, DIVIDEN	NDS, ROYAL	TIES & RENTS PART 5
List each source of income you, interest, dividends, royalties and more information, see FORM PI	d rents during the calendar y	ear and indicate the c	cess of \$500 that was derived from category of the amount of the income. For
When reporting information abo providing the number under whi	ut a dependent child's activi	ity, indicate the child a Cover Sheet.	bout whom you are reporting by
1 SOURCE OF INCOME	PRINCIPAL GLOBAL DIV	NAME AND ADI	DRESS
<sup>2</sup> RECEIVED BY	∑ FILER	SPOUSE	DEPENDENT CHILD
3 AMOUNT	☒ \$500 - \$4,999	\$5,000 - \$9,999	☐ \$10,000 - \$24,999 ☐ \$25,000OR MORE
SOURCE OF INCOME	SPDR S P DIVID ETF	NAME AND AD	DRESS
RECEIVED BY	X FILER	SPOUSE	DEPENDENT CHILD
AMOUNT	☒ \$500 - \$4,999	\$5,000 - \$9,999	\$10,000 - \$24,999 \$25,000OR MORE
SOURCE OF INCOME	SUNAMERICA FOCUSE	NAME AND AD D DIV STR CL W	DDRESS
RECEIVED BY	X FILER	SPOUSE	DEPENDENT CHILD
AMOUNT	∑ \$500 - \$4,999	\$5,000 - \$9,999	☐ \$10,000 - \$24,999 ☐ \$25,000OR MORE
C	OPY AND ATTACH ADD	ITIONAL PAGES AS	NECESSARY

Texas Ethics Commission	P.O. Box 12070	Austin, Texas 7	8711-2070	(512)463-5800	1-800-325-850
INCOME FROM	INTEREST,	DIVIDEN	DS, ROYAL	TIES & RENTS	PART 5
☐ NOT APPLICABLE					
List each source of income interest, dividends, royaltie more information, see FO	es and rents during	the calendar ye	child received in ex ar and indicate the c	cess of \$500 that was derived ategory of the amount of the ir	from ncome. For
When reporting information providing the number under				bout whom you are reporting b	ру
<sup>1</sup> SOURCE OF INCOME	TEXAS INS	STRUMENTS	NAME AND ADD	DRESS	
<sup>2</sup> RECEIVED BY	⊠ FI	LER	SPOUSE	DEPENDENT CHILD	
<sup>3</sup> AMOUNT	⊠ \$5	500 - \$4,999	\$5,000 - \$9,999	\$10,000 - \$24,999 \$25,0	000OR MORE
SOURCE OF INCOME			NAME AND ADI	DRESS	
	WAL-MAR	T STORES INC			
RECEIVED BY	X F	ILER	SPOUSE	DEPENDENT CHILD	
AMOUNT	[X] \$:	500 - \$4,999	\$5,000 - \$9,999	\$10,000 - \$24,999 \$25,0	000OR MORE
SOURCE OF INCOME		OODS MKT INC	NAME AND AD	DRESS	
RECEIVED BY	[X] F	ILER	SPOUSE	DEPENDENT CHILD	A 1997 Per
AMOUNT	⊠ \$	500 - \$4,999	\$5,000 - \$9,999	\$10,000 - \$24,999 \$25,	000OR MORE
	COPY AND A	TTACH ADDIT	IONAL PAGES AS	NECESSARY	

## PART 5 **INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS** ■ NOT APPLICABLE List each source of income you, your spouse, or a dependent child received in excess of \$500 that was derived from interest, dividends, royalties and rents during the calendar year and indicate the category of the amount of the income. For more information, see FORM PFS--INSTRUCTION GUIDE. When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet. NAME AND ADDRESS <sup>1</sup> SOURCE OF INCOME WINDSTREAM CORP <sup>2</sup> RECEIVED BY X FILER DEPENDENT CHILD \_\_\_\_\_ ☐ SPOUSE 3 AMOUNT X \$500 - \$4,999 NAME AND ADDRESS SOURCE OF INCOME **DESMOND BRYANT** RECEIVED BY X FILER ☐ SPOUSE DEPENDENT CHILD \_\_\_\_\_ **AMOUNT** \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 🔀 \$25,000--OR MORE \$500 - \$4,999 NAME AND ADDRESS SOURCE OF INCOME STEPHOND WEST RECEIVED BY DEPENDENT CHILD \_\_\_\_\_ X FILER SPOUSE **AMOUNT** \$500 - \$4,999 X \$5,000 - \$9,999 \$10,000 - \$24,999 \$25,000--OR MORE COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

# PART 6 PERSONAL NOTES AND LEASE AGREEMENTS ☐ NOT APPLICABLE Identify each guarantor of a loan and each person or financial institution to whom you, your spouse, or a dependent child had a total financial liability of more than \$1,000 in the form of a personal note or notes or lease agreement at any time during the calendar year and indicate the category of the amount of the liability. For more information, see FORM PFS--INSTRUCTION GUIDE When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet. PERSON OR INSTITUTION BANK OF AMERICA HOLDING NOTE OR LEASE AGREEMENT <sup>2</sup> LIABILITY OF X FILER SPOUSE ☐ DEPENDENT CHILD \_\_\_\_\_ <sup>3</sup> GUARANTOR <sup>4</sup> AMOUNT **\$1,000 - \$4,999** \$5,000 - \$9,999 \$10,000 - \$24,999 \$25,000--OR MORE PERSON OR INSTITUTION U.S. BANK (VEHICLE) HOLDING NOTE OR LEASE AGREEMENT LIABILITY OF X FILER SPOUSE DEPENDENT CHILD **GUARANTOR AMOUNT \$1,000 - \$4,999** COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

Austin, Texas 78711-2070

#### PART 7A INTERESTS IN REAL PROPERTY ☐ NOT APPLICABLE Describe all beneficial interests in real property held or acquired by you, your spouse, or a dependent child during the calendar year. If the interest was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For an explanation of 'beneficial interest' and other specific directions for completing this section, see FORM PFS--INSTRUCTION GUIDE. When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet. 1 HELD OR ACQUIRED BY X FILER ☐ SPOUSE □ DEPENDENT CHILD STAFFT ADDRESS, INCLUDING CITY, COUNTY AND STATE <sup>2</sup> STREET ADDRESS NOT AVAILABLE CHECK IF FILER'S HOME ADDRESS NUMBER OF LOTS OR ACRES AND NAME OF COUNTY WHERE LOCATED 3 DESCRIPTION 1 lot X LOTS DALLAS COUNTY ACRES <sup>4</sup> NAMES OF PERSONS RETAINING AN INTEREST ■ NOT APPLICABLE (SEVERED MINERAL INTEREST) 5 IF SOLD \$25,000--OR MORE NET GAIN LESS THAN \$5,000 \$5,000 - \$9,999 \$10,000 - \$24,999 NET LOSS HELD OR ACQUIRED BY X FILER ☐ SPOUSE ☐ DEPENDENT CHILD STREET ADDRESS, INCLUDING CITY, COUNTY AND STATE STREET ADDRESS 1537 PLEASANT RUN DESOTO, TX 75115 NOT AVAILABLE DALLAS CHECK IF FILER'S HOME ADDRESS NUMBER OF LOTS OR ACRES AND NAME OF COUNTY WHERE LOCATED **DESCRIPTION** 5 acres LOTS DALLAS COUNTY X ACRES NAMES OF PERSONS **RETAINING AN INTEREST** ☐ NOT APPLICABLE (SEVERED MINERAL INTEREST) IF SOLD \$25,000--OR MORE NET GAIN LESS THAN \$5,000 **\$5,000 - \$9,999 \$10,000 - \$24,999** ☐ NET LOSS COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

#### PART 7A INTERESTS IN REAL PROPERTY ■ NOT APPLICABLE Describe all beneficial interests in real property held or acquired by you, your spouse, or a dependent child during the calendar year. If the interest was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For an explanation of 'beneficial interest' and other specific directions for completing this section, see FORM PFS--INSTRUCTION GUIDE. When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet. <sup>1</sup> HELD OR ACQUIRED BY X FILER SPOUSE DEPENDENT CHILD STREET ADDRESS, INCLUDING CITY, COUNTY AND STATE 2 STREET ADDRESS 7318 OAKMORE DALLAS, TX 75249-1307 ☐ NOT AVAILABLE DALLAS CHECK IF FILER'S HOME ADDRESS NUMBER OF LOTS OR ACRES AND NAME OF COUNTY WHERE LOCATED 3 DESCRIPTION 1 lot □ LOTS **DALLAS COUNTY** ACRES <sup>4</sup> NAMES OF PERSONS RETAINING AN INTEREST NOT APPLICABLE (SEVERED MINERAL INTEREST) 5 IF SOLD ☐ \$25,000--OR MORE NET GAIN LESS THAN \$5,000 \$5,000 - \$9,999 \$10,000 - \$24,999 ☐ NET LOSS HELD OR ACQUIRED BY X FILER SPOUSE ☐ DEPENDENT CHILD STREET ADDRESS, INCLUDING CITY, COUNTY AND STATE STREET ADDRESS 1212 REGENTS PARK DESOTO, TX 75115-2837 NOT AVAILABLE **DALLAS** CHECK IF FILER'S HOME ADDRESS NUMBER OF LOTS OR ACRES AND NAME OF COUNTY WHERE LOCATED DESCRIPTION 1 lot X LOTS **DALLAS COUNTY** ACRES NAMES OF PERSONS RETAINING AN INTEREST NOT APPLICABLE (SEVERED MINERAL INTEREST) IF SOLD \$10,000 - \$24,999 \$25,000--OR MORE LESS THAN \$5,000 \$5,000 - \$9,999 ■ NET GAIN ☐ NET LOSS COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

INTERESTS IN REAL	PROPERTY	•		PART <b>7A</b>
☐ NOT APPLICABLE				
Describe all beneficial interests in calendar year. If the interest was seen for an explanation of 'beneficial in INSTRUCTION GUIDE.	sold, also indicate the	category of the amou	nt of the net gain or loss	realized from the sale.
When reporting information about providing the number under which			ld about whom you are	reporting by
<sup>1</sup> HELD OR ACQUIRED BY		SPOUSE	DEPENDENT CHI	LD
2 STREET ADDRESS  NOT AVAILABLE CHECK IF FILER'S HOME ADDRESS	320 SOUTH R. L. TI SUITE 300 DALLAS, TX 75203 DALLAS	HORNTON FREEWAY	DING CITY, COUNTY AND STATE	
3 DESCRIPTION  ☑ LOTS ☐ ACRES	1 lot	UMBER OF LOTS OR ACRES AND	D NAME OF COUNTY WHERE LOCA	TED
4 NAMES OF PERSONS RETAINING AN INTEREST  NOT APPLICABLE (SEVERED MINERAL INTEREST)				
5 IF SOLD  NET GAIN NET LOSS	LESS THAN \$5,00	0 \$5,000 - \$9,999	<b>\$10,000 - \$24,999</b>	☐ \$25,000OR MORE
		DDITIONAL PAGES		

#### Austin, Texas 78711-2070 (512)463-5800 1-800-325-8506 P.O. Box 12070 Texas Ethics Commission PART 7B INTERESTS IN BUSINESS ENTITIES ■ NOT APPLICABLE Describe all beneficial interests in business entities held or acquired by you, your spouse, or a dependent child during the calendar year. If the interest was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For an explanation of 'beneficial interest' and other specific directions for completing this section, see FORM PFS--INSTRUCTION GUIDE When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet. <sup>1</sup> HELD OR ACQUIRED BY X FILER ☐ SPOUSE □ DEPENDENT CHILD NAME AND ADDRESS <sup>2</sup> DESCRIPTION (check if Filer's Home Address) ROYCE WEST & ASSOCIATES, P.C. 320 SOUTH R. L. THORNTON FREEWAY SUITE 300 DALLAS, TX 75203-1804 3 IF SOLD ■ NET GAIN ☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☐ \$25,000--OR MORE ☐ NET LOSS HELD OR ACQUIRED BY X FILER ☐ SPOUSE ☐ DEPENDENT CHILD NAME AND ADDRESS **DESCRIPTION** (check if Filer's Home Address) SKYVIEW DEVELOPMENT LLC 320 SOUTH R. L. THORNTON FREEWAY DALLAS, TX 75203-1804 IF SOLD ■ NET GAIN ☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☐ \$25,000--OR MORE ☐ NET LOSS HELD OR ACQUIRED BY X FILER ☐ SPOUSE ☐ DEPENDENT CHILD NAME AND ADDRESS DESCRIPTION (check if Filer's Home Address) WEST & ASSOCIATES, LLP 320 SOUTH R. L. THORNTON FREEWAY SUITE 300 DALLAS, TX 75203-1804 IF SOLD ■ NET GAIN ☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☐ \$25,000--OR MORE ☐ NET LOSS

GIFTS		PART 8
☐ NOT APPLICABLE		
describe the gift. The description include a statement of the value registered as a lobbyist under characteristic see FORM PFSINSTRUCTION When reporting information about 15 to 1	on that has given a gift worth more than \$250 to you, your spouse, or a dependent chin of a gift of cash or a cash equivalent, such as a negotiable instrument or gift certification of the gift. Do not include: 1) expenditures required to be reported by a person required apter 305 of the Government Code; 2) political contributions reported as required by lest to the recipient within the second degree of consanguinity or affinity. For more information of GUIDE out a dependent child's activity, indicate the child about whom you are reporting be nich the child is listed on the Cover Sheet.	ite, must ed to be aw; or nation,
1 DONOR	NAME AND ADDRESS SENATE COMMITTEE ON JURISPRUDENCE	
	SAM HOUSTON BUILDING 201 E 14TH ST - ROOM 350 AUSTIN, TX 78701	
<sup>2</sup> RECIPIENT	I FILER	
<sup>3</sup> DESCRIPTION OF GIFT	\$600 GIFT CARD TO PURCHASE COWBOY BOOTS - FROM MEMBERS OF T JURISPRUDENCE COMMITTEE	HE.
C	OPY AND ATTACH ADDITIONAL PAGES AS NECESSARY	

512)463-5800	1-800-325-8506
012/400-0000	1-000-323-0300

Tayon	Ethioc	Commission
Lexas	Finics	Commission

ASSETS OF B	USINESS ASSOCIATI	ONS		PART 11A
☐ NOT APPLICABLE				
corporation, professiona dent child held, acquired of the assets. For more When reporting informat	ach coporation, firm, partnership, lim Il association, joint venture, or other Il, or sold 50 percent or more of the c information, see FORM PFSINSTI ion about a dependent child's activit der which the child is listed on the C	business association outstanding ownership RUCTION GUIDE. y, indicate the child a	in which you, your spou o and indicate the categ	use, or a depen- ory of the amount
<sup>1</sup> BUSINESS ASSOCIATION	ROYCE WEST & ASSOCIATES, P.0	C	(Check if Filer's Home Address)	
	320 SOUTH R. L. THORNTON FRE SUITE 300 DALLAS, TX 75203-1804	EVVAY		
<sup>2</sup> BUSINESS TYPE	PROFESSIONAL CORPORATION	100000000000000000000000000000000000000		
<sup>3</sup> HELD, ACQUIRED, OR SOLD BY	X FILER	SPOUSE	DEPENDENT CHILD	
<sup>4</sup> ASSETS	DESCRIPTION NO ASSETS		CATE	GORY  \$5,000 - \$9,999  \$25,000OR MORE
	COPY AND ATTACH ADDIT	IONAL PAGES AS	NECESSARY	

ASSETS OF B	USINESS ASSOCIA	TIONS		PART <b>11A</b>
☐ NOT APPLICABLE	<u> </u>			
corporation, professional dent child held, acquired of the assets. For more When reporting informa	ach coporation, firm, partnership, al association, joint venture, or oth d, or sold 50 percent or more of the information, see FORM PFS-IN tion about a dependent child's achider which the child is listed on the	er business associatine outstanding owners STRUCTION GUIDE. Exitivity, indicate the chile	on in which you, your spot ship and indicate the categ	use, or a depen- lory of the amount
<sup>1</sup> BUSINESS ASSOCIATION	SKYVIEW DEVELOPMENT LLC 320 SOUTH R. L. THORNTON F SUITE 300	ME AND ADDRESS [	(Check if Filer's Home Address)	
	DALLAS, TX 75203-1804			
<sup>2</sup> BUSINESS TYPE	REAL ESTATE DEVELOPMENT	: LIMITED LIABILITY	COMPANY	
<sup>3</sup> HELD, ACQUIRED, OR SOLD BY	X FILER	SPOUSE	DEPENDENT CHILD	
<sup>4</sup> ASSETS	DESCRIPTIO BUILDING	N	CAT  LESS THAN \$5,000  \$10,000 - \$24,999	EGORY  \$5,000 - \$9,999  \$25,000OR MORE
	COPY AND ATTACH AD	DITIONAL PAGES	AS NECESSARY	

# PART 11A ASSETS OF BUSINESS ASSOCIATIONS □ NOT APPLICABLE Describe all assets of each coporation, firm, partnership, limited partnership, limited liability partnership, professional corporation, professional association, joint venture, or other business association in which you, your spouse, or a dependent child held, acquired, or sold 50 percent or more of the outstanding ownership and indicate the category of the amount of the assets. For more information, see FORM PFS--INSTRUCTION GUIDE. When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet. NAME AND ADDRESS (Check if Filer's Home Address) <sup>1</sup> BUSINESS WEST & ASSOCIATES, LLP **ASSOCIATION** 320 SOUTH R. L. THORNTON FREEWAY SUITE 300 DALLAS, TX 75203-1804 LIMITED LIABILITY PARTNERSHIP <sup>2</sup> BUSINESS TYPE <sup>3</sup> HELD, ACQUIRED, X FILER ☐ SPOUSE □ DEPENDENT CHILD \_\_\_ OR SOLD BY CATEGORY DESCRIPTION <sup>4</sup> ASSETS PROPERTY/EQUIPMENT **\$10,000 - \$24,999** \$25,000--OR MORE OFFICE FURNITURE LESS THAN \$5,000 \$5,000 - \$9,999 X \$10,000 - \$24,999 \$25,000--OR MORE COMPUTER EQUIPMENT ☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 X \$10,000 - \$24,999 ☐ \$25,000--OR MORE

Texas Ethics Commission

1-800-325-8506

LIABILITIES O	F BUSINESS ASSOC	IATIONS		PART 11B
☐ NOT APPLICABLE				
corporation, professiona dent child held, acquired of the liabilities. For mor When reporting informat	each coporation, firm, partnership, I I association, joint venture, or other I, or sold 50 percent or more of the ore information, see FORM PFSINS ion about a dependent child's activition der which the child is listed on the O	business association outstanding ownership STRUCTION GUIDE. ty, indicate the child a	in which you, your spot and indicate the categ	ory of the amount
<sup>1</sup> BUSINESS ASSOCIATION	WEST & ASSOCIATES, LLP	_	Check if Filer's Home Address)	
	320 SOUTH R.L. THORNTON FRE SUITE 300 DALLAS, TX 75203-1804	EWAY		
<sup>2</sup> BUSINESS TYPE	LIMITED LIABILITY PARTNERSHIP	D		
<sup>3</sup> HELD, ACQUIRED, OR SOLD BY	X FILER	SPOUSE	DEPENDENT CHILD	
4 LIABILITIES	DESCRIPTION CLIENT TRUST ACCOUNT			EGORY
			LESS THAN \$5,000	∑ \$25,000 - \$9,999 ∑ \$25,000OR MORE

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

Texas Ethics Commission

Austin, Texas 78711-2070

LIABILITIES O	F BUSINESS ASSOCIA	ATIONS		PART 11B
☐ NOT APPLICABLE				
corporation, professional dent child held, acquired of the liabilities. For mor When reporting informati	each coporation, firm, partnership, lim I association, joint venture, or other but, I, or sold 50 percent or more of the oure information, see FORM PFSINST ion about a dependent child's activity, der which the child is listed on the Co	usiness association tstanding ownership RUCTION GUIDE. , indicate the child a	in which you, your spou and indicate the categ	ory of the amount
<sup>1</sup> BUSINESS ASSOCIATION	SKYVIEW DEVELOPMENT LLC  320 SOUTH R. L. THORNTON FREE SUITE 300 DALLAS, TX 75203-1804		(Check if Filer's Home Address)	
<sup>2</sup> BUSINESS TYPE	LIMITED LIABILITY COMPANY			
<sup>3</sup> HELD, ACQUIRED, OR SOLD BY		SPOUSE	☐ DEPENDENT CHILD	
<sup>4</sup> LIABILITIES	DESCRIPTION DEBT		CATE	GORY
	J DEB1		LESS THAN \$5,000	\$5,000 - \$9,999
		. <b></b>	\$10,000 - \$24,999	X \$25,000OR MORE
	TENANT DEPOSITS		LESS THAN \$5,000	\$5,000 - \$9,999 \$25,000OR MORE

### 1-800-325-8506 P.O. Box 12070 Austin, Texas 78711-2070 **PART 12 BOARDS AND EXECUTIVE POSITIONS** ☐ NOT APPLICABLE List all boards of directors of which you, your spouse, or a dependent child are a member and all executive positions you, your spouse, or a dependent child hold in corporations, firms, partnerships, limited partnerships, limited liability partnerships, professional corporations, professional associations, joint ventures, other business associations, or proprietorships, stating the name of the organization and the position held. For more information, see FORM PFS--INSTRUCTION GUIDE. When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet. BLACK AMERICA WEB RELIEF FUND <sup>1</sup> ORGANIZATION SECRETARY <sup>2</sup> POSTITION HELD 3 POSITION HELD BY X FILER SPOUSE □ DEPENDENT CHILD \_\_\_\_\_ CIRCLE TEN COUNCIL OF BOY SCOUTS OF AMERICA **ORGANIZATION** VICE PRESIDENT SCOUT REACH POSTITION HELD POSITION HELD BY X FILER SPOUSE DEPENDENT CHILD \_\_\_\_\_ **EDUCATION IS FREEDOM** ORGANIZATION **BOARD MEMBER** POSTITION HELD POSITION HELD BY X FILER ☐ SPOUSE DEPENDENT CHILD ROYCE WEST & ASSOCIATES, P.C. **ORGANIZATION** PRESIDENT POSTITION HELD POSITION HELD BY X FILER SPOUSE DEPENDENT CHILD \_\_\_\_\_ SKYVIEW DEVELOPMENT LLC ORGANIZATION **PRESIDENT** POSTITION HELD POSITION HELD BY X FILER SPOUSE DEPENDENT CHILD \_\_\_\_\_

# P.O. Box 12070 **PART 12 BOARDS AND EXECUTIVE POSITIONS** ■ NOT APPLICABLE List all boards of directors of which you, your spouse, or a dependent child are a member and all executive positions you, your spouse, or a dependent child hold in corporations, firms, partnerships, limited partnerships, limited liability partnerships, professional corporations, professional associations, joint ventures, other business associations, or proprietorships, stating the name of the organization and the position held. For more information, see FORM PFS--INSTRUCTION GUIDE. When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet. TOM JOYNER FOUNDATION, INC. <sup>1</sup> ORGANIZATION **SECRETARY** <sup>2</sup> POSTITION HELD <sup>3</sup> POSITION HELD BY ☐ SPOUSE X FILER DEPENDENT CHILD \_\_\_\_\_ WEST & ASSOCIATES, LLP **ORGANIZATION** MANAGING PARTNER **POSTITION HELD** POSITION HELD BY X FILER SPOUSE DEPENDENT CHILD \_\_\_\_\_

(512)463-5800	1-800-325-8506

_		4	9	

EXPENSES ACCEPTED UNDER HONORARIUM EXCEPTION PART 13		
□ NOT APPLICABLE		
Identify any person who provided you with necessary transportation, meals, or lodging, as permitted under section 36.07(b) of the Penal Code, in connection with a conference or similar event in which you rendered services, such as addressing an audience or participating in a seminar, that were more than perfunctory. Also provide the amount of the expenditures on transportation, meals, or lodging. You are not required to include items you have already reported as political contributions on a campaign finance report, or expenditures required to be reported by a lobbyist under the lobby law (chapter 305 of the Government Code). For more information, see FORM PFSINSTRUCTION GUIDE		
<sup>1</sup> PROVIDER	NAME AND ADDRESS	
PROVIDER	TEXAS ASSOCIATION OF MEXICAN AMERICAN CHAMBER OF COMMERCE (TAMACC)	
	P.O. BOX 41780 AUSTIN, TX 78704	
	·	
<sup>2</sup> AMOUNT	\$138.06	
C	DPY AND ATTACH ADDITIONAL PAGES AS NECESSARY	

# FEES RECEIVED FOR SERVICES RENDERED

TO A LOBBYIST OR LO	DBBYIST'S EMPLOYER
chapter 305 of the Government Code, sates or reimburses a person required	ing services to or on behalf of a person required to be registered as a lobbyist under or for providing services to or on behalf of a person you actually know directly compento be registered as a lobbyist. Report the name of each person or entity for which the ne category of the amount of each fee. For more information, see FORM PFS
<sup>1</sup> PERSON OR ENTITY FOR WHOM SERVICES WERE PROVIDED	ANDREWS KURTH
<sup>2</sup> FEE CATEGORY	LESS THAN \$5,000 \$5,000 - \$9,999 \$10,000 - \$24,999 X \$25,000OR MORE
PERSON OR ENTITY FOR WHOM SERVICES WERE PROVIDED	BANK OF AMERICA CORPORATION
FEE CATEGORY	☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☒ \$25,000OR MORE
PERSON OR ENTITY FOR WHOM SERVICES WERE PROVIDED	DALLAS INDEPENDENT SCHOOL DISTRICT
FEE CATEGORY	☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☒ \$25,000OR MORE
PERSON OR ENTITY FOR WHOM SERVICES WERE PROVIDED	FIRST SOUTHWEST COMPANY
FEE CATEGORY	☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☒ \$25,000OR MORE
PERSON OR ENTITY FOR WHOM SERVICES WERE PROVIDED	LINEBARGER GOGGAN BLAIR & SAMPSON
FEE CATEGORY	X LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☐ \$25,000OR MORE
COPY A	ND ATTACH ADDITIONAL PAGES AS NECESSARY

Texas Ethics Commission P.O. Box 12070 Austin, Texas 78711-2070

### DART 15

1-800-325-8506

TO A LOBBYIST OR LO	SERVICES RENDERED PART 15  DBBYIST'S EMPLOYER
chapter 305 of the Government Code, sates or reimburses a person required	ing services to or on behalf of a person required to be registered as a lobbyist under or for providing services to or on behalf of a person you actually know directly compento be registered as a lobbyist. Report the name of each person or entity for which the ne category of the amount of each fee. For more information, see FORM PFS
<sup>1</sup> PERSON OR ENTITY FOR WHOM SERVICES WERE PROVIDED	ANDREWS KURTH
<sup>2</sup> FEE CATEGORY	☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☒ \$25,000OR MORE
PERSON OR ENTITY FOR WHOM SERVICES WERE PROVIDED	BANK OF AMERICA CORPORATION
FEE CATEGORY	☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☒ \$25,000OR MORE
PERSON OR ENTITY FOR WHOM SERVICES WERE PROVIDED	DALLAS INDEPENDENT SCHOOL DISTRICT
FEE CATEGORY	☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☒ \$25,000OR MORE
PERSON OR ENTITY FOR WHOM SERVICES WERE PROVIDED	FIRST SOUTHWEST / PLAINS CAPITAL
FEE CATEGORY	☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☒ \$25,000OR MORE
PERSON OR ENTITY FOR WHOM SERVICES WERE PROVIDED	LINEBARGER GOGGAN BLAIR & SAMPSON
FEE CATEGORY	X LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☐ \$25,000OR MORE
PERSON OR ENTITY FOR WHOM SERVICES WERE PROVIDED	CITY OF DALLAS
FEE CATEGORY	☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☒ \$25,000OR MORE
COPY A	ND ATTACH ADDITIONAL PAGES AS NECESSARY

Austin, Texas 78711-2070

1-800-325-8506

SERVICES RENDERED  DBBYIST'S EMPLOYER
ing services to or on behalf of a person required to be registered as a lobbyist under or for providing services to or on behalf of a person you actually know directly compento be registered as a lobbyist. Report the name of each person or entity for which the ne category of the amount of each fee. For more information, see FORM PFS
HOUSTON INDEPENDENT SCHOOL DISTRICT
☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☒ \$25,000OR MORE
JP MORGAN SECURITIES LLC
☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999       \$10,000 - \$24,999   ☐ \$25,000OR MORE
DALLAS AREA RAPID TRANSIT (DART)
☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☒ \$25,000OR MORE
ND ATTACH ADDITIONAL PAGES AS NECESSARY

## PERSONAL FINANCIAL STATEMENT PARTS MARKED 'NOT APPLICABLE' BY FILER

Rather than printing a page for each Part the filer checked 'Not Applicable,' this page summarizes whether the 'Not Applicable' checkbox was checked for each Part. If the checkbox is checked next to a Part below, then no pages for that Part should be present in the report. If a checkbox is not checked, then pages for that Part should be present in the report.

	Part 1A - Sources of Occupational Income
☑ N/A	Part 1B - Retainers
□ N/A	Part 2 - Stock
□ N/A	Part 3 - Bonds, Notes & Other Commercial Paper
□ N/A	Part 4 - Mutual Funds
□ N/A	Part 5 - Income from Interest, Dividends, Royalties & Rents
□ N/A	Part 6 - Personal Notes and Lease Agreements
□ N/A	Part 7A - Interests in Real Property
□ N/A	Part 7B - Interests in Business Entities
□ N/A	Part 8 - Gifts
☑ N/A	Part 9 - Trust Income
☑ N/A	Part 10A - Blind Trusts
□ N/A	Part 10B - Trustee Statement
□ N/A	Part 11A - Assets of Business Associations
□ N/A	Part 11B - Liabilities of Business Associations
□ N/A	Part 12 - Boards and Executive Positions
□ N/A	Part 13 - Expenses Accepted Under Honorarium Exception
☑ N/A	Part 14 - Interest in Business in Common with Lobbyist
□ N/A	Part 15 - Fees Received for Services Rendered to a Lobbyist or Lobbyist's Employer
□/N/A	Part 16 - Representation by Legislator Before State Agency
□ N/A	Part 17 - Benefits Derived from Functions Honoring Public Servant
☑ N/A	Part 18 - Legislative Continuances

## PERSONAL FINANCIAL STATEMENT AFFIDAVIT

P.O. Box 12070

The law requires the personal financial statement to be verfied. The verfication page must have the signature of the individual required to file the personal financial statement, as well as the signature and stamp or seal of office of a notary public or other person authorized by law to administer oaths and affirmations. Without proper verification, the statement is not considered filed.

I swear, or affirm, under penalty of perjury, that this financial statement covers calendar year ending December 31, **2013**, and is true and correct and includes all information required to be reported by me under chapter 572 of the Government Code.

Signature of Filer



AFFIX NOTARY STAMP / SEAL ABOVE

Sworn to and subscribed before me by to certify which, witness my hand and seal of office.

this the Wish day of Juni any, 20 14

Signature of officer administering oath

Printed name of officer administering oath

Title of officer administering oath